

FUNCTIONS, RESPONSIBILITIES AND AUTHORITIES MANUAL



**CHICAGO OPERATIONS OFFICE
U.S. DEPARTMENT OF ENERGY**

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I. INTRODUCTION

The Chicago Operations Office (CH) is an essential component of the Department of Energy's (DOE) integrated system to provide value and benefits to its customers. Our customers include, but are not limited to, the scientists and engineers at our various laboratories who conduct research at our facilities, public agencies and private-sector companies who partner with our laboratories in collaborative research, the neighboring communities that surround our laboratory sites and rely on DOE to operate in an environmentally sound manner, the members of the university research community who benefit from our grants administration process, and ultimately the American People who benefit from the results of DOE's research programs. It is our goal to achieve results-oriented, cost-effective and environmentally sound and safe work-place management practices at these facilities.

Safety¹ management, i.e., the planning, direction, and oversight of activities designed to ensure safety, is a primary responsibility of DOE line management. There is an unbroken line of managers who are fully committed to performing work safely that extends from the Secretary of Energy to each individual worker. While performing the work safely is the personal responsibility of every individual, it is management's responsibility to ensure that this safety philosophy is established and nurtured. Safety management functions, responsibilities, and authorities vary based on the hazards and risks of the work. The rigor and comprehensiveness of safety management programs and their execution will vary in relation to the hazards and risks.

The Operations Office has the direct responsibility for communicating this safety philosophy to the contractors and federal personnel who operate our federally owned facilities. Therefore, the Operations Office is the most critical federal link in this unbroken line of managers and is fully accountable for seeing that the Department's commitments to performing work safely are met. Clear definitions of functions, responsibilities, and authorities within this office are essential to ensure that safety, as well as programmatic, objectives are achieved efficiently and effectively.

Throughout this document there are discussions of delegations of authority. While delegations of authority are necessary to efficiently manage activities, responsibility and accountability for the work being performed cannot be delegated. With delegation comes the responsibility to maintain a sufficient awareness of the delegee's work performance to provide a reasonable assurance that the work is being performed safely. This applies to all delegations, including those to subordinates, contractors, and subcontractors.

(1) Throughout this document, the term "safety" is used synonymously with environment, safety and health to encompass protection of the public, the workers, and the environment.

II. OBJECTIVES

This manual establishes safety management functions and defines lines of responsibility and authority for CH employees. It does not define the functions, responsibilities, and authorities for CH contractors, although it does define Department functions involved in the direction and oversight of contractors. Functions, responsibilities, and authorities of DOE contractors are provided in their documented integrated safety management systems.

Specifically, this manual addresses the safety management functions, responsibilities, and authorities for planning, performing, assessing, improving, and implementing the requirements necessary to work safely. It is the implementing document for the authorities, functions and responsibilities assigned to Field Element Managers (FEMs) in the DOE FRAM, all DOE directives pertaining to Environment, Safety and Health, and any related delegation memoranda from DOE-HQ. In addition, it defines some functions that are the responsibility of specific CH line management elements or support elements.

This manual addresses only those functions determined to be necessary for safety. Responsibilities covered in this manual include those for the Operations Office Manager, Facility Group Managers, GOGO Laboratory Directors, Acquisitions & Assistance Group Manager, Environmental Program Group Manager, Financial Services Group Manager, the Technical and Administrative Services Group Manager, and the Legal Services Group Manager.

This document will be reviewed biannually and updated as necessary.

III. SCOPE

DOE Policy 450.4, "Safety Management System Policy," identifies and describes the core functions of the Department's integrated safety management as follows:

Define the Scope of Work. Missions are translated into work, expectations are set, tasks are defined and prioritized, and resources allocated.

Analyze the Hazards. Hazards associated with the work are identified, analyzed and categorized.

Develop and Implement Hazard Controls. Applicable standards and requirements are identified and agreed-upon, controls to prevent/mitigate hazards are identified, the safety envelope is established, and controls are implemented.

Perform Work within Controls. Readiness is confirmed and work is performed safely.

Provide Feedback and Continuous Improvement. Feedback information on the adequacy of work is gathered, opportunities for improving the definition and planning of work are identified and implemented, line and independent oversight is conducted and, if necessary, regulatory enforcement actions occur.

Figure 1 illustrates the flow and the relationship of these various functions.² The degree of rigor applied in addressing these functions will vary based on the work activity and the hazards involved. This manual identifies how CH works to carry out each of these functions. These functions taken together with those of our HQ partners and contractor management constitute the activities necessary to provide reasonable assurance that the public, the workers, and the environment are adequately protected. This manual identifies the organizations in CH that are accountable for effective accomplishment of these functions. Figure 1 also illustrates the role of *Direction* in safety management. Those activities which define and shape the missions of the Department, such as strategic plans, budgets, and the development of safety policies and requirements, are considered to be *Direction*. The five core safety management functions, together with *Direction*, define the necessary structure for any work activity that could potentially affect the safety of the public, the workers, or the environment. In DOE CH, Facility Group Managers are the only federal officials authorized to provide *Direction* to the GOCO contractors who perform work at our laboratories.

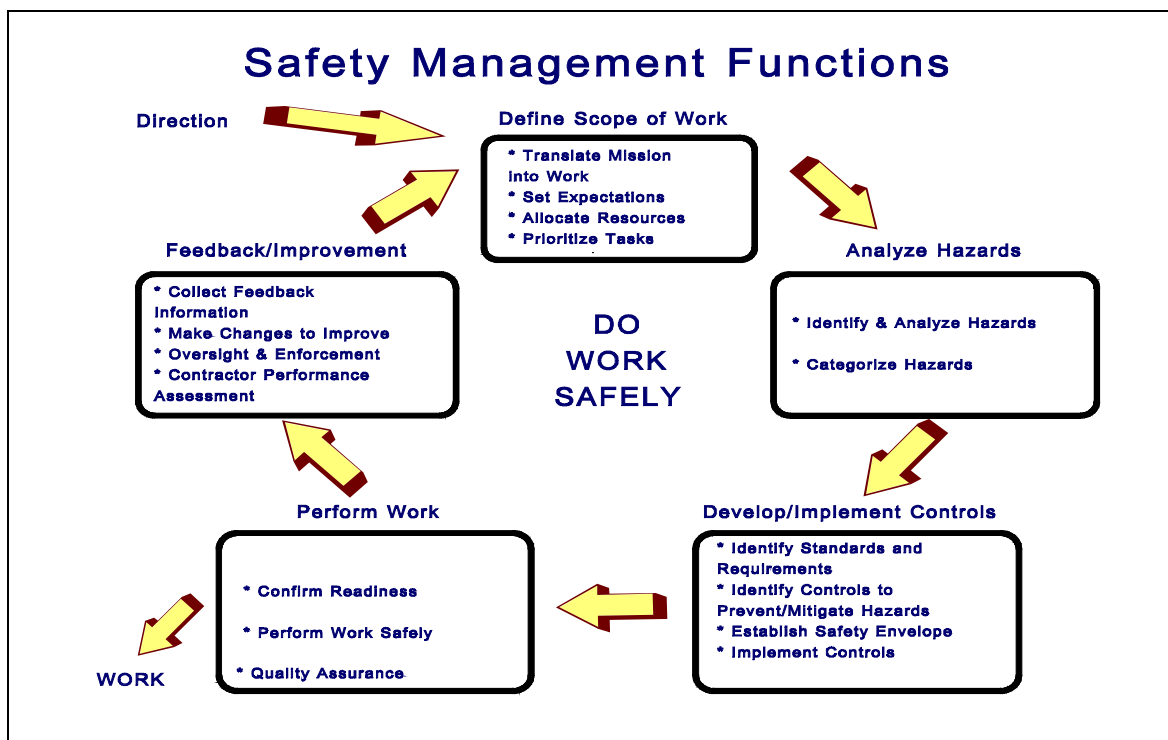


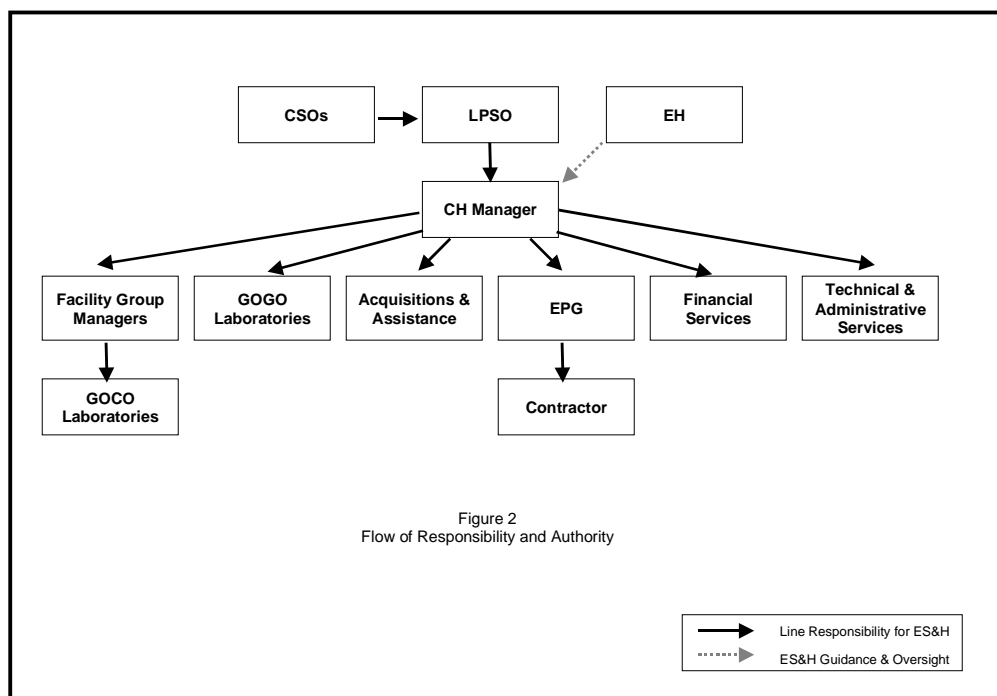
Figure 1

(2) Figure 1 has been adapted from Figure 3 of the Defense Nuclear Facilities Safety Board Recommendation 95-2 Implementation Plan.

IV. CH ORGANIZATION

The Research Facilities in the DOE-CH family have a diverse set of missions and responsibilities which include research, dissemination of scientific information, production and maintenance of special nuclear materials, the development of regulations and standards for energy, cleanup of contaminated sites, and the encouragement of nuclear energy for peaceful purposes. These Facilities are located at five contractor-operated (Argonne, Brookhaven, Princeton, Fermi and Ames) and two government operated (New Brunswick and Environmental Measurement) Laboratories. DOE-CH has assigned a Facility Group with Contracting Officer authority to each of the contractor-operated laboratories.

For Government-Owned Contractor-Operated Laboratories, DOE line management flows from the Secretary to the Cognizant Secretarial Officers (CSOs), to the Lead Program Secretarial Officer (LPSO), to the CH Manager, to the Line Organization Managers (Facility Group Managers), to the DOE Management and Operating contractors that operate each of these GOCO Laboratories. For Government-Owned Government-Operated Laboratories, DOE line management flows from the Secretary through the Lead Program Secretarial Officer (LPSO) to the CH Manager, to the Laboratory Directors. At CH's two GOGO facilities, there is no operations contractor involved, and DOE-CH employees are directly responsible for operating the facility and performing the work. CH's Environmental Programs Group Manager provides line management direction for certain environmental restoration activities not associated with current CH laboratories and program direction for EM funded work at the CH laboratories. (See Figure 2.)



The following CH organizations are considered to be line organizations: The Office of the Manager, Ames Group, Argonne Group, Brookhaven Group, Fermi Group, Princeton Group, Environmental Measurements Laboratory, New Brunswick Laboratory and the Environmental Programs Group. The primary responsibility to ensure safety lies with these line management groups.

V. AUTHORITY DELEGATED TO CH MANAGER FROM CSOs

The CSOs have delegated the following authority to the CH Manager:

- Approval authority for Nuclear Safety Documentation for Category 2 and 3 facilities - SC, NE, EM, SO
- Startup/Restart of Category 2 and 3 Nuclear Facilities - SC, NE, EM
- Reclassification of Nuclear Facilities - SC, NE, EM
- Approval authority for Radiological Program documents - SC, EM, SO

In many cases the CH Manager has redelegated responsibility to the Facility Group Managers, see section VI.A. and Appendix A.

VI. ROLE OF CH LINE GROUPS

A. Authority Delegated from the CH Manager

Except as specifically noted in this manual, all transactional authorities pertaining to the Laboratories under CH cognizance which are assigned to Field Element Managers by DOE's Environment Safety and Health Directives or DOE-HQ delegation memoranda have been re-delegated to the Group Managers at each of those locations. The delineation of authorities and responsibilities assigned to DOE-CH by the DOE FRAM, as detailed in sections IX and X of this manual, is consistent with this delegation policy. A more detailed listing of delegations as they relate to DOE Orders is included in Attachment 1.

Throughout this document there are discussions of delegations of authority from the CH Manager to subordinate CH organizations. While delegations of authority are necessary to efficiently manage activities, responsibility for the work being performed cannot be delegated. With delegation comes the responsibility to maintain a sufficient operational awareness of the delegee's work performance to provide a reasonable assurance that the work is being performed effectively. Operational awareness is maintained by participation in key decisions; performing management walkthroughs and observations; systematic assessments of ES&H programs and processes; and continuing evaluation of performance information from occurrence reports, environmental monitoring, performance metrics, and other sources.

Whenever a responsibility is listed for a subordinate CH organization, that authority was delegated from the CH Manager. The CH Manager, while retaining full responsibility for activities which are delegated, holds the subordinate organization's manager accountable for their execution of that delegated authority.

Internal delegations of authority within the Facility Groups and from the Facility Group Manager to the Contractors will be detailed in the Facility Group's Functions, Responsibilities and Authorities Manual.

B. Line Management Responsibility for Safety

At our GOCO Laboratories, the Facility Group is the DOE-CH entity closest to the work being planned and performed; therefore it is the Facility Group Manager that has the most crucial role in carrying out DOE's line management responsibility for ensuring work is being performed safely. The Facility Group ensures that the work is planned and performed safely by clearly conveying the Department's expectations to the contractors performing the work, ensuring they have developed and are implementing an integrated safety management system, and maintaining a comprehensive operational awareness of the activities being conducted. At our GOGO Laboratories, the GOGO Director has the line management responsibility for ensuring work is performed safely. For CH contracts containing the Radiation Protection and Nuclear Criticality clause (48 CFR 952.223-72), line responsibility for radiological safety flows through the Contracting Officer to the Acquisitions Group Manager. (Currently, Notre Dame contract DE-AC02-76ER00038 is the only such contract.)

VII. ROLE OF CH SUPPORT GROUPS RELATIVE TO SAFETY

While the CH Facility Groups and the GOGOs have line responsibility for safety at their facilities, several CH support groups provide essential services that enable the line to accomplish their safety management objectives. The CH support groups that provide services related to ES&H include the Technical and Administrative Services Group, the Legal Services Group, the Office of Communications, the Acquisitions & Assistance Group and the Financial Services Group. These support groups are comprised of persons with specialized expertise in various ES&H, engineering, quality assurance, maintenance, financial/budgeting, contract administration and legal disciplines. Centralizing the services provided by these support groups is the most efficient manner for CH to apply its resources. When these support groups perform their functions, it is in assistance of the line groups who retain full responsibility and authority for the work being performed. These CH support groups also provide assistance to the CH Manager in developing ES&H-related expectations. For contracts containing the Radiation Protection and Nuclear Criticality clause, the Technical and Administrative Services Group provides radiological safety support to the Acquisitions Group.

VIII. COORDINATION OF DIRECTION FROM MULTIPLE CSOs

Many of the CH laboratories have a multi-program mission, and therefore receive management direction from multiple CSOs through the LPSO. Sometimes the various CSOs' direction regarding ES&H may differ in approach. The LPSO is responsible for coordinating with affected CSOs prior to issuing direction to the field element(s). The Field Management Council (FMC) will resolve any conflict between the LPSO and the CSOs concerning direction to the field.

If time allows, the CH Manager will notify the LPSO of any inconsistencies in direction or guidance and the impact on work, schedule, and budget and will coordinate with the LPSO to resolve such inconsistencies. If time does not allow for such coordination, or if the coordination is not moving towards a timely resolution of the inconsistencies, the CH Manager will provide resolution of the inconsistencies to the CH line managers, and notify the LPSO and CSOs of the actions taken.

IX. DOE-CH SAFETY MANAGEMENT FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR GOCO FACILITIES

A. Direction

CH's Facility Groups have primary responsibility for functions relating to safety management. Each Facility Group is responsible for planning its activities, budgeting and allocating available resources to meet its objectives, and contributing to the development and implementation of requirements and meeting Department-wide and CH strategic objectives. They are responsible for performing work and executing contracts consistent with policy and requirements; and for monitoring and assessing day-to-day performance.

CH's Technical and Administrative Services Group, Acquisitions & Assistance Group, Financial Services Group and Legal Services Group provide support to the Facility Groups in carrying out their responsibilities. This support includes making available needed technical expertise, providing interpretations of safety regulations, coordinating safety related activities that cross cut Facility Group boundaries, administering flow-down of safety requirements to DOE-CH prime contracts, and representing the office at DOE-wide ES&H forums.

The responsibilities and authorities for providing direction related to ensuring safety are delineated below.

1. DOE STRATEGIC PLANS, INCLUDING MISSION STATEMENTS

CH Manager Responsibilities

Provide input to and meet the provisions of the Secretary's Strategic Plan including the Department's Mission Statement.

2. CH STRATEGIC PLANS, INCLUDING MISSION STATEMENTS

CH Manager Responsibilities

Lead efforts to prepare and maintain the CH strategic plan, approve the CH strategic plan.

Facility Group Manager, Acquisitions Group Manager, Environmental Programs Group Manager, Technical and Administrative Group Manager, Financial Services Group Manager and Legal Services Group Manager Responsibilities

Participate in efforts to prepare and maintain the CH strategic plan.

3. CH BUSINESS PLANS

CH Manager Responsibilities

Approves the Group Business Plans. Assure that appropriate ES&H related goals are contained in the Group Business Plans and are included as performance elements in the subordinate manager's performance appraisal plan.

Facility Group Manager, Acquisitions Group Manager, Environmental Programs Group Manager, Financial Services Group Manager and Legal Services Group Manager Responsibilities

Implements the CH Strategic Plan through development and implementation of a Group Business Plan. Includes appropriate ES&H related goals in their business plans. Ensures the Group's ES&H related goals are appropriately reflected in their staff's performance appraisal plans.

4. INPUT TO PROGRAM OFFICE MISSION ASSIGNMENT

CH Manager Responsibilities

Coordinate interactions with CH's LPSO, and champion the interests of CH.

Facility Group Manager, Acquisitions Group Manager, and Environmental Programs Group Manager Responsibilities

Review and provide input to the program guidance developed by the LPSO.

Implement program guidance.

5. INPUT TO PROGRAM OFFICE BUDGET

CH Manager Responsibilities

Review the proposed budget and provide input to the LPSO on the adequacy of the proposal to support missions and safety initiatives.

Facility Group Manager, Acquisitions Group Manager, and Environmental Programs Group Manager Responsibilities

Review the proposed budget and provide input to the CH Manager and the LPSO on the adequacy of the proposal to support missions and safety initiatives.

6. INPUT TO PROGRAM OFFICE RESOURCE ALLOCATIONS

CH Manager Responsibilities

Review and provide input to LPSO regarding the adequacy of the proposed allocations to meet mission and safety initiatives. In the event the proposed budget is insufficient, propose an alternate plan to LPSO that can be accomplished within budget and/or identify needed additional funds.

Facility Group Manager, Acquisitions Group Manager, and Environmental Programs Group Manager Responsibilities

Review and provide input to CH Manager regarding the adequacy of the proposed allocations to meet mission and safety initiatives. In the event the proposed budget is insufficient, propose an alternate plan to CH Manager that can be accomplished within budget and/or identify needed additional funds.

7. LPSO & CSOs FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUALS

CH Manager Responsibilities

Review and provide input/comments to the Functions, Responsibilities and Authorities Manual (FRAM) of the LPSO and CSOs.

Facility Group Manager, Acquisitions Group Manager, and Environmental Programs Group Manager Responsibilities

Review the proposed LPSO and CSOs FRAM(s) and provide input to the CH Manager on its adequacy.

8. CH FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL

CH Manager Responsibilities

Prepare, approve, and implement the CH FRAM which delineates how applicable responsibilities and authorities are performed within CH. Forwards CH FRAM to LPSO and CSOs for review.

Facility Group Manager, Acquisitions Group Manager, Environmental Programs Group Manager, Financial Services Group Manager, Technical and Administrative Services Group Manager, and Legal Services Group Manager Responsibilities

Review and implement the FRAM.

9. GROUP LEVEL FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL

CH Manager Responsibilities

Review and approve the Group Level FRAMs which delineates how applicable responsibilities and authorities are performed within the Groups.

Facility Group Manager, Acquisitions Group Manager, and Environmental Programs Group Manager Responsibilities

Prepare and implement the Group Level FRAM which delineates how the Group will implement the Group responsibilities and authorities delineated in the CH FRAM.

10. ENVIRONMENT, SAFETY AND HEALTH DIRECTIVES PROCESS

The following subsections describe CH's responsibilities with respect to the processes for developing the various ES&H directives used within the Department. Rules are the equivalent of law and are enforceable regardless of contract language. Policies, Orders, Manuals, and Notices are considered mandatory requirements and are binding on contractors when incorporated into contracts and on Department staff wherever applicable. Guides and Technical Standards are considered guidance and consequently are not mandatory. CH issues local CH directives to assign internal authorities and responsibilities and to provide internal procedures. CH promotes the use of the Work Smart Standards Process (DOE M 450.3) to determine which directives, guides and standards to include in our contracts to ensure adequate safety protection. For further information on Department Directives, see CH Order 251.1 and CH Manual 251.1-1.

a) Directives

CH Manager Responsibilities

Designate a Directives Point of Contact to coordinate review of directives. Designates the CH Office of Primary Interest (OPI). Review and comment on proposed DOE Directives. Determine if proposed DOE Directives are consistent with CH mission and safety goals. Approve CH comments and transmit to DOE-HQ.

Approve CH Directives.

Facility Group Manager, Acquisitions Group Manager, Environmental Programs Group Manager, Technical and Administrative Services Group Manager and Legal Services Group Manager Responsibilities

Review and comment on proposed DOE and CH Directives. Provide staff participation on focus groups or technical development teams to ensure a quality product is prepared during the development phase. Determine if proposed Directives are consistent with their laboratory's mission and safety goals.

Technical and Administrative Services Group Manager Responsibilities

Additionally assigns staff to serve as Directive Points of Contact to coordinate the review of Directives.

Office of Primary Interest Responsibilities

Lead CH wide efforts to review, develop and maintain DOE and CH Directives.

b) Internal Operating Procedures

Facility Group Manager, Acquisitions Group Manager, Environmental Programs Group Manager, Technical and Administrative Services Group Manager and Legal Services Group Manager Responsibilities

As necessary, prepare and approve internal operating procedures for performing work.

c) DOE Technical Standards*CH Manager Responsibilities*

Determine if proposed DOE Technical Standards are consistent with CH mission and safety goals.

Facility Group Manager, Acquisitions Group Manager, Environmental Programs Group Manager, Technical and Administrative Services Group Manager and Legal Services Group Manager Responsibilities

Review and comment on proposed DOE Technical Standards. Recommend technical and economical improvements where appropriate. Provide staff participation on focus groups or technical development teams to ensure a quality product is prepared during the development phase. Determine if proposed DOE Technical Standards are consistent with their laboratory's mission and safety goals.

Technical and Administrative Services Group Manager Responsibilities

Additionally assigns staff to perform the function of CH Technical Standards Manager to coordinate the review and comment on proposed DOE Technical Standards.

d) Nuclear Safety Rules*CH Manager Responsibilities*

Determine if proposed rules are consistent with CH mission and safety goals. Approve CH comments on proposed rules.

Facility Group Manager, Acquisitions Group Manager, Environmental Programs Group Manager, Technical and Administrative Services Group Manager and Legal Services Group Manager Responsibilities

Review and comment on proposed rules. Recommend technical and economical improvements where appropriate. Provide staff participation on focus groups or technical development teams to ensure a quality product is prepared during the development phase. Determine if proposed rules are consistent with their laboratory's mission and safety goals.

Technical and Administrative Services Group Manager Responsibilities

Additionally assigns a CH representative to the DOE Rule Implementation Steering Group (RISG).

e) Other Rules

Technical and Administrative Services Group Manager and Legal Services Group Chief Counsel Responsibilities

Provide assistance in understanding and implementing environmental rules, and coordinates comments to proposed changes to environmental regulations, Occupational Safety and Health regulations, and Department of Transportation and Nuclear Regulatory Commission packaging requirements for transporting radioactive materials.

f) Work Smart Standards Process

CH Manager Responsibilities

Approves the Facility Group Managers' requests to develop a Work Smart Standards set.

Serves as Approval Authority in conjunction with the contractor to determine the adequacy of the Work Smart Standards set and to approve or disapprove the set of standards.

Facility Group Manager Responsibilities

Works with M&O contractor to determine if the Work Smart Standards process should be conducted at that site. If agreement is reached, the process should be initiated and conducted as specified in DOE M 450.3-1 and associated guidance.

Technical & Administrative Services Group Responsibilities

Supports Group Managers as requested.

g) Coordination of Direction to a Site*CH Manager Responsibilities*

If time allows, the CH Manager will notify the LPSO of the inconsistencies in direction or guidance and the impact on work, schedule, and budget and will coordinate with the LPSO to resolve such inconsistencies. If time does not allow for such coordination, or if the coordination is not moving towards a timely resolution of the inconsistencies, the CH Manager will provide resolution of the inconsistencies to the CH line managers, and notify the LPSO and CSOs of the actions taken.

Facilities Group Manager and Acquisitions Group Manager Responsibilities

Identify inconsistencies in LPSO's direction to their site and propose resolution to the CH Manager.

11. TECHNICAL QUALIFICATION AND COMPETENCY

The Department's Technical Qualification Program (TQP) applies to DOE federal technical employees whose duties could impact the safe operation of a defense nuclear facility. CH does not have responsibility for any of the Department's defense nuclear facilities. However, in the interest of ensuring the technical competence of its federal technical workforce, CH management has elected to use the functional area qualification standards, which have been developed as part of the Department's TQP, in the qualification of CH technical employees.

CH Manager Responsibilities

Establish the CH technical training program.

Determine, with input from Group Managers that employ federal technical employees, the technical functional areas for which employee qualification will be given priority resource allocation.

Facility Group Manager, Environmental Programs Group Manager, and Technical and Administrative Services Group Manager Responsibilities

Train and qualify their technical employees (implement CH-M 360.1).

12. 48 CFR 970.5204-2 and 48 CFR 970.5204-78

48 CFR 970.5204-2 *Integration of Environment, Safety, and Health into Work Planning and Execution*, also known as the ISM clause, and 48 CFR 970.5204-78 *Laws, Regulations, and DOE Directives*, also known as the LAWS clause, are required to be incorporated into the contracts of M&O Contractors. The ISM clause conveys the Department's ISM principles and functions, and requires, among other things, the M&O Contractor to develop a documented ISM System. The LAWS clause requires the contractor to comply with applicable Federal, State and local laws and regulations; it also addresses the development, between the Contracting Officer and the contractor, of a list of applicable DOE directives, standards, and requirements the contractor will comply with for ES&H.

CH Manager Responsibilities

Coordinate development of consistent guidance on the required content of ISMS Descriptions for use by CH's Contracting Officers.

Facility Group Manager/Contracting Officer Responsibilities

Incorporate 48 CFR 970.5204-2 and 48 CFR 970.5204-78 into the Laboratory's contract; ensure the contractor effectively implements the requirements of these clauses.

Provide guidance to the contractor on the content requirements for the Laboratory's ISMS Description.

Ensure the contractor develops a documented ISM System Description.

13. NON-M&O PRIME SUPPORT SERVICES CONTRACTS

Facility Group Manager/Contracting Officer Responsibilities

Ensure the contractor effectively implements the requirements of the contract consistent with DOE Orders and guidance, applicable Federal, state and local laws, and good business practices.

Determine the applicability of DEAR 970.5204-2, and if deemed applicable, ensure the contractor develops an Integrated Safety Management System in accordance with DEAR 970.5204-2.

Approve changes to existing policies and procedures of Non-M&O Prime Support Services Contracts prior to implementation.

Approve written directives prior to implementation.

Approve special event staffing increases.

B. DEFINE SCOPE OF WORK

Once DOE has established its missions and resources, DOE determines the specific work which needs to be done at its sites in order to meet those missions. Department expectations, site and contractor capabilities, safety priorities, and available resources are considered in defining the scope of work to be performed. These activities must be prioritized in order to ensure that DOE resources are most effectively applied. The Department's expectations are defined in contracts and regulations for GOCOs. Following the award of a contract for GOCOs, or a contract modification to add DEAR 970.5204-2 to an existing contract, a documented Integrated Safety Management System (ISMS) is developed for each site. The ISMS establishes the management system which controls the work consistent with contract terms, legal requirements, regulatory agreements, available resources, and safety priorities. DOE and the contractor can execute contract modifications for changes in the negotiated scope of work based on actual work planning and performance.

1. TRANSLATE MISSION INTO WORK

Mission is translated into work through the implementation of documents such as Field Work Proposals, Project Data Sheets, Construction Directive Authorizations, Program Authorization Letters and EM Ten Year Plans for each site.

a) Authorizing Contractor Work Packages

Contracting Officer Responsibilities

Issues Program Authorization Letters and Construction Directives Authorizations to contractors.

2. SET CONTRACTOR EXPECTATIONS

CH Manager Responsibilities

Ensure contracts define the actions necessary to meet site mission and safety expectations. Appoints Contracting Officer for Facility Groups.

Facility Group Manager, Acquisitions Group Manager, and Environmental Programs Group Manager Responsibilities

Direct the Contracting Officer to prepare, approve and issue contracts and modifications which provide a clear set of expectations, including appropriate performance measures, to contractors regarding the work to be performed and safety requirements controlling that work. Ensure contracts clearly delineate contractor responsibilities regarding subcontractors and suppliers. Act as a liaison between the contractor and other Departmental elements regarding contract issues and performance expectations. Determine if contracts are properly implemented.

3. LABORATORY'S INTEGRATED SAFETY MANAGEMENT SYSTEM

The Laboratory must develop and implement an Integrated Safety Management System (ISMS) which satisfies the requirements of DOE P 450.4 *Safety Management System Policy* and 48 CFR 970.5204-2. The Laboratory must document its ISMS in a ISMS Description. The adequacy of the Laboratory's documented ISMS Description, and the effectiveness of its ISMS implementation, must be verified by the Head of Contracting Activity (HCA). The CH Manager is the HCA for the contractors under the cognizance of CH.

CH Manager Responsibilities

Establish goals for the Integrated Safety Management Systems of Laboratories under the cognizance of CH.

Appoint the ISMS Verification (ISMSV) Team Leader, and provide direction to the ISMSV Team Leader on the scope and expectations for the ISMSV. Approve the ISMSV team members and the ISMSV Plan.

Approve the Laboratory's ISMS based upon the results of the ISMS Verification.

Facility Group Manager Responsibilities

Ensure his/her Laboratory develops and implements an acceptable ISMS, including a documented ISMS Description as required by 48 CFR 970.5204-2.

Inform the CH Manager when his/her Laboratory is ready for its ISMS Verification (phase 1 or phase 2 or a combined phase 1 & 2).

Provide input to the CH Manager regarding the scope and expectations for the ISMSV, and for the selection of the ISMSV Team Leader and team members.

Upon successful verification of the Laboratory's ISMS, provide on-going validation of the continued effectiveness of the Laboratory's ISMS implementation through the Facility Group's operational awareness activities.

4. ALLOCATE RESOURCES

In order to perform work at DOE sites, DOE must allocate resources for that work.

CH Manager Responsibilities

Secure sufficient federal resources and funds to support CH ES&H mission and goals. Ensure funds and resources are appropriately used. If there are not sufficient funds or resources available to safely perform the work the CH Manager shall reallocate funds/resources (within the funds available to CH), obtain additional funding from the LPSO, or direct cessation of activities.

Facility Group Manager, Acquisitions Group Manager, and Environmental Programs Group Manager Responsibilities

Prepare budget documents in accordance with DEAR, DOE Order 135.1, and DOE Manual 135.1-1 to allocate funds and resources. Ensure funds and resources are appropriately used. If there are not sufficient funds or resources available to safely perform the work, the Group Manager shall reallocate funds/resources (within funds available to the Group), obtain additional funds/resources from the CH Manager, or direct cessation of activities.

Financial Services Group Manager Responsibilities

Prepare budget documents in accordance with DEAR, DOE Order 135.1, and DOE Manual 135.1-1 to allocate resources and budget to contractors and GOGOs.

5. PRIORITIZE TASKS

Work must be prioritized to ensure that DOE resources are most effectively used and mission and safety expectations are met within available budgets.

CH Manager Responsibilities

Ensure development and implementation of a system for prioritization of activities to assure that actions necessary to safely perform work are identified and funded.

Assign the Technical and Administrative Services Group Manager to develop a CH Environment, Safety and Health and Infrastructure (ESH&I) Management Program.

Facility Group Manager, Acquisitions Group Manager, and Environmental Programs Group Manager Responsibilities

Implement the management system for prioritization of site activities in accordance with the CH ESH&I Management Program.

Assure that appropriate Stakeholders have had an opportunity to provide input into the ES&H or ESH&I Management Plans.

Technical and Administrative Services Group Manager Responsibilities

Develop the CH ESH&I Management Program.

Appoint a point-of-contact to serve as the CH liaison to DOE Headquarters on matters pertaining to the prioritization of site activities. To advise the CH Manager of any strategic or significant issues pertaining to the development of CH facilities ES&H or ESH&I Management Plans. Support the CH Manager and the Chicago Executive Committee with the identification of ES&H priorities.

6. ISSUES MANAGEMENT

In support of the Department-wide commitments for DNFSB Recommendation 98-1, identified safety issues are to be tracked to closure to ensure successful implementation of corrective actions.

CH Manager Responsibilities

Serve as the "Cognizant Line Manager" for resolution of all CH safety issues in the DOE Corrective Action Tracking System.

Approves Corrective Action Plans and individual corrective actions.

Appoint the Corrective Action Review Board (CARB) Chairperson.

Chicago Executive Committee Member Responsibilities

Serve as the "Responsible Line Manager" for resolution/implementation of safety issues in the DOE Corrective Action Tracking System that originate from within his/her respective organization and/or contractor.

Ensure that safety issues identified in the DOE Corrective Action Tracking System are managed in accordance with corrective action plan commitments.

Utilize the CH Strategic Initiative Management Information System to track the status of safety issue corrective action plans.

Obtain support from the CH point-of-contact for the DOE Corrective Action Tracking System to ensure the successful reporting of the status of recognized safety issues.

Facility Group Managers Responsibilities

Assure Corrective Action Plans (CAPs) are developed and any new actions for existing CAPs are developed consistent with DOE and CH requirements and expectations.

Appoint a CAP POC for each CAP.

Work with the CARB in the development, tracking, verification of corrective action(s) completion, and CAP closure.

Submit CAPs and any new actions to existing CAPs to the CLM for approval.

Technical and Administrative Services Group Manager Responsibilities

Maintain the CH Strategic Initiative Management Information System to track the status of safety issue corrective action plans.

Appoint a CH point-of-contact for the local administration of the DOE Corrective Action Tracking System.

Assign subject matter experts in support to the CARB.

C. ANALYZE HAZARDS

The hazards involved in any work activity must be identified, analyzed and categorized so that the appropriate safety standards can be selected commensurate with the work to be performed. The system to identify, analyze, and categorize the hazards should be tailored to the expected hazards.

1. IDENTIFY AND ANALYZE HAZARDS

Facility Group Manager, Acquisitions Group Manager, and Environmental Programs Group Manager Responsibilities

Ensure the contractor establishes and effectively implements a process for identifying the hazards and risks associated with the operations of its facilities and performance of its research work.

Review and approve the hazard analyses provided by their contractor(s). Determine that the analyses properly cover the hazards associated with the work and provide sufficient information for the selection of safety standards.

2. CATEGORIZE FACILITY/ACTIVITY BASED ON THE HAZARDS

CH Manager Responsibilities

Approve and issue the CH Nuclear Facilities List.

Transmit the CH Nuclear Facilities List to the CSOs for review and concurrence.

Facility Group Manager, Acquisitions Group Manager, and Environmental Programs Group Manager Responsibilities

Prepare the facility/activity list identifying the hazard classification levels for each facility/activity based on input from contractors regarding the type and amounts of hazards. Coordinate categorization of facilities as "nuclear facilities" with the CSO, and, provide input to the CH Nuclear Facilities List.

Technical and Administrative Service Group Manager Responsibilities

Prepare the CH Nuclear Facilities List.

D. DEVELOP AND IMPLEMENT CONTROLS

A set of ES&H directives, requirements, and standards appropriate to the work and the hazards must be established. In addition to DOE directives and rules, there are state, local and other federal laws and regulations that must be met, and a body of consensus and professional association technical standards and guides that define acceptable methods of conducting activities. Also, there are often agreements that DOE has established with other organizations. The planning and preparations for conducting operations at DOE facilities must include the identification of any and all such requirements that apply to the planned activities, and steps must be taken to achieve compliance or to make timely application, where warranted, for exemption from the requirements. The Department's Necessary and Sufficient, a.k.a. Work Smart Standards, process is an acceptable process for determining the appropriate set of ES&H directives, requirements, and standards. Once operations are underway, DOE line

management should be vigilant toward changes in requirements, and in active pursuit of better and more efficient methods of maintaining compliance.

1. ESTABLISH SAFETY ENVELOPE

a) 48 CFR 970.5204-78 Laws, Regulations, and DOE Directives

Facility Group Manager Responsibilities

Ensures the M&O contract between DOE and the Laboratory contains a list of applicable DOE Directives, requirements, and standards.

b) Environment Safety and Health (ES&H) site/facility specific requirements for incorporation into contracts for Hazard Category 1 nuclear facilities

CH Manager Responsibilities

Reviews and concurs to facility specific standard set, Safety Documentation and Authorization Bases. Recommends that the CSO approve.

Facility Group Manager Responsibilities

Works in partnership with the contractor to develop the facility-specific standards set tailored to the work and the hazards. Reviews and concurs to the Safety Documentation and Authorization Bases prepared by the contractor. Recommends that the CH Manager concurs and submits the standards set, Safety Documentation and Authorization Bases to the CSO for approval.

Directs the Contracting Officer to incorporate standards into contract requirements.

c) ES&H site/facility specific requirements for incorporation into contracts for Hazard Category 2 and below nuclear facilities and non-nuclear facilities.

Facility Group Manager, Acquisitions Group Manager, and Environmental Programs Group Responsibilities

Works in partnership with the contractor to develop the facility-specific standards set tailored to the work and the hazards. Reviews and approves the Safety Documentation and Authorization Bases prepared by the contractor.

Approve (1) the specific requirements to be included in contracts, (2) safety documentation and (3) authorization bases.

Directs the Contracting Officer to incorporate standards into contract requirements.

d) Authorization Basis

The authorization basis consists of the safety documentation supporting the decision to allow a process or facility to operate. Included are operational and environmental requirements found in regulations and specific permits, and for specific activities, work packages and job safety analyses.

The safety envelope consists of the range of conditions covered by the safety documentation of a process or facility under which safe operation is adequately controlled. Safety documentation includes the reports, memoranda, and other approved documents that identify the hazards of a process or a facility, and describes the measures for their control. The safety basis is the combination of information relating to the control of hazards at a facility (including design, engineering analyses, and administrative controls) upon which DOE depends for its conclusion that activities at the facility can be conducted safely.

(1) Safety Documentation/Authorization Basis for Category 1 hazard nuclear facilities

CH Manager Responsibilities

Maintain cognizance of ongoing activities in this area.

Request CSO approval of the authorization basis and associated safety documentation.

Facility Group Manager Responsibilities

Through the appropriate Contracting Officer, direct the preparation of the authorization basis and associated safety documentation, and monitor the implementation by the contractor.

Review proposed safety documentation and authorization basis.

Recommend to the CH Manager that CH request CSO approval of the authorization basis and associated safety documentation.

(2) Safety Documentation/Authorization Basis for Category 2 and below hazard nuclear facilities and non-nuclear facilities

Facility Group Manager, Acquisitions Group Manager, and Environmental Programs Group Manager Responsibilities

Ensure the contractor establishes the safety envelope for their facilities.

Through the appropriate Contracting Officer, direct the preparation of the authorization basis and associated safety documentation; approve or concur in these documents consistent with applicable DOE directives, contractual agreements or delegations; assure that the contract binds the contractor to implementation; and monitor the implementation by the contractor.

(3) Authorization Protocols

Authorization protocols encompass those processes that are used to communicate acceptance of the contractor's integrated plans for hazardous work. Such protocols may range from pre-performance review and approval of detailed safety-related terms and conditions for performing work (e.g., an authorization agreement) to less rigorous oversight with post-performance acceptance of the contractor's work.

An authorization agreement (AA) is a contractually binding, documented agreement between DOE and the contractor for high-hazard facilities (Category 1 and 2) that specify commitments related to design, operating, and

administrative controls that govern the conduct of an activity or the operation of a facility. The AA incorporates the results of DOE's review of the contractor's proposed authorization basis for a defined scope of work. The AA contains key terms and conditions (controls and commitments) under which the contractor is authorized to perform work; any changes to these terms and conditions would require DOE approval.

Facility Group Managers' Responsibilities

Establish, using a tailored approach that provides for a level of rigor commensurate with the hazards and risk inherent to the operation, what authorization protocol(s) will be used for the facilities and processes of their Laboratory.

Determine which facilities and/or processes at their Laboratory merit the development of an Authorization Agreement.

Ensure the development of Authorization Agreements for the high-hazard facilities of their Laboratory.

Endorse, along with the appropriate contractor representative, the Authorization Agreements for the high-hazard facilities of the Laboratory.

e) Controls to prevent and mitigate hazards for Category 1 hazard nuclear facilities

CH Manager Responsibilities

Recommend to the CSO approval of the adequacy of controls for the prevention and mitigation of hazards, and ensure sufficient funding for their implementation.

Facility Group Manager Responsibilities

Recommend to the CH Manager that CH request CSO approval of the adequacy of controls for the prevention and mitigation of hazards, and ensure sufficient funding for their implementation.

Through the appropriate Contracting Officer, direct the contractor to prepare documentation for controls to prevent and mitigate hazards.

Maintain cognizance of activities pertaining to controls for the prevention and mitigation of hazards.

f) Controls to prevent and mitigate hazards for Category 2 and below hazard nuclear facilities and non-nuclear facilities

Facility Group Manager, Acquisitions Group Manager, and Environmental Programs Group Manager Responsibilities

Through the appropriate Contracting Officer, direct the contractor to prepare documentation for controls for the prevention and mitigation of hazards.

Approve the adequacy of controls for the prevention and mitigation of hazards.

g) Nuclear Safety Rule Implementation Plans, Programs, and Procedures

1) Approval Authority Rests with CSO

CH Manager Responsibilities

Assign staff to participate on Rule Implementation Plan Working Groups (RIWGs), if established.

Transmit the recommendation for approval from the Rule Implementation Plan Review Team (IPRT) to the CSO with concurrence or comments.

Transmit approvals of implementation plan from CSOs (or designee) to Facility Groups, or Environmental Programs Group.

Maintain cognizance of activities pertaining to the review and approval of contractor nuclear safety implementation plans submitted in accordance with the requirements of 10 CFR Parts 830 and/or 835.

*Facility Group Manager, Acquisitions Group Manager, and
Environmental Programs Group Manager Responsibilities*

Through the appropriate Contracting Officer, direct the contractor to prepare and submit nuclear safety implementation plans in accordance with the requirements of 10 CFR Parts 830 and/or 835.

Assign staff to lead IPRTs.

Transmit the recommendation for approval from the IPRT to the CH Manager with concurrence or comments.

Transmit approvals of implementation plans from CH Manager (or designee) to contractor.

**2) Approval Authority Rests with Facility Group Manager
or Acquisitions Group Manager**

CH Manager Responsibilities

Assign staff to participate on Rule Implementation Plan Working Groups (RIWGs), if established.

Maintain cognizance of activities pertaining to the review and approval of contractor nuclear safety implementation plans submitted in accordance with the requirements of 10 CFR Parts 830 and/or 835.

*Facility Group Manager, Acquisitions Group Manager, and
Environmental Programs Group Manager Responsibilities*

Through the appropriate Contracting Officer, direct the contractor to prepare and submit nuclear safety implementation plans in accordance with the requirements of 10 CFR Parts 830 and/or 835.

Assign staff to lead IPRTs. (When the Acquisitions Group has this responsibility, Technical and Administrative Services Group will provide the service.)

Approve implementation plans and transmit approvals to the contractor.

h) Safety Management System Documentation**1) Safety Assessment Document***Facility Group Manager Responsibilities*

Provide written approval of Unreviewed Safety Issues.

Oversee preparation and maintenance of contractors' SADs.

Confirm risks analyzed in SAD are acceptable.

2) Safety Analysis Reports*CH Manager Responsibilities*

Review and approve all new, revised and/or updated SARs.

Facility Group Manager Responsibilities

Oversee contractor preparation and review of safety analyses, including nuclear criticality, safety envelopes, hazards classification, safety evaluations and changes consistent with DOE O 5480.23 and other related orders.

Advise LPSO, CSO, Field and Area Offices of nuclear safety problems, deficiencies, and needs of actions taken under DOE O 5480.23.

Designate an individual to be responsible for bringing to the attention of the Contracting Officer each procurement falling within the scope of DOE O 5480.23.

3) Technical Safety Requirements*Facility Group Manager Responsibilities*

Review all Technical Safety Requirements and revisions.

Provide Technical Safety Requirements and Technical Safety Requirements Change Requests to the LPSO and appropriate CSOs.

Ensure contractor implementation of DOE Order 5480.22 and provide guidance.

Ensure Contracting Officer is notified of all procurements falling within the scope of DOE Order 5480.22.

4) Authorization Agreements

Facility Group Manager Responsibilities

Review contractor authorization basis.

Approval of and changes to authorization agreements.

2. EXEMPTIONS

a) Exemptions from DOE ES&H Directive Requirements (other than rules).

Note: at facilities where the Work Smart Standards Process has been implemented, exemptions from DOE ES&H Directive (contained primarily in the 400 and 5000 series directives) requirements are not necessary, as their applicability would have been evaluated during the WSS process. DOE ES&H directive requirements not selected for inclusion in the WSS Set are considered exempted. Refer to DOE P 450.3 and DOE M 450.3-1 for detailed information on the WSS/N&S process.

For most worker safety and health-related requirements, "exemption" is the term used to describe the formal approval of not meeting a DOE requirement. DOE M 251.1-1A describes how exemptions are applied in general for most DOE directives; however, individual Orders may have specific exemption requirements and approval levels for exemptions for DOE-adopted OSHA standards.

Equivalencies is a term used in the fire protection area and is described in DOE O 420.1. The term "Authority Having Jurisdiction" (AHJ) is commonly used within the fire safety community. This is typically an individual judged to possess enough technical competence and experience to expertly support management in matters pertaining to fire protection and life

safety. The role of the AHJ has been re-delegated to the respective managers of the facility groups and GOGOs.

Waivers is a term used in the explosives safety area, and is used to obtain local approval of a deviation to an "advisory" provision of the Explosives Safety Manual (DOE M 440.1-1).

Variance is the term used by the Occupational Safety and Health Administration when allowing a different approach to protection from a specified hazard. OSHA identifies special conditions that must be met to receive a "variance" from the Assistant Secretary for OSHA. This term only applies to DOE contractors under the regulatory jurisdiction of OSHA.

CH Manager Responsibilities

Review and recommend approval, to CSO, of requests for exemption to ES&H requirements for Hazard Category 1 nuclear facilities.

Review and recommend approval of exemption requests to EH for exemptions to DOE O 5400.1, 5400.5, and 5820.2A.

Facility Group Manager, Acquisitions Group Manager, and Environmental Programs Group Manager Responsibilities

Review and recommend concurrence on exemption requests to the CH Manager for Hazard Category 1 nuclear facilities, and for exemptions to DOE O 5400.1, 5400.5, and 5820.2A.

Review and approve exemption requests from contractors for Hazard Category 2 or below nuclear facilities and non-nuclear facilities (unless other approval authority is specifically noted in the directive; e.g., DOE O 5400.1, 5400.5, and 5820.2A).

Ensure that facility group managers and GOGOs possess the technical competence and experience to expertly support management in matters pertaining to fire protection and life safety (i.e. functioning as the Authority Having Jurisdiction). If the facility groups and GOGOs do not possess this competence, ensure that a mechanism is in place for obtaining this technical competence.

b) Exemptions from Requirements in 10 CFR Part 830

Exemptions from the requirements of the nuclear safety management rules of 10 CFR Part 830 are specifically authorized in 10 CFR Part 820, Subpart E. Individuals requesting and processing exemptions to these regulations should refer to the criteria and authorities in that regulation. In addition, DOE-STD-1083-95 provides guidance on requesting, reviewing and granting exemptions to DOE nuclear safety rules.

CH Manager Responsibilities

Review and provide recommendation to CSO on the request for exemption.

Facility Group Manager Responsibilities

Review and recommend concurrence on exemption requests to the CH Manager.

c) Exemptions from Requirements in 10 CFR Part 835

Exemptions from the requirements of 10 CFR Part 835 are specifically authorized in 10 CFR Part 820, Subpart E. Individuals requesting and processing exemptions to these regulations should refer to the criteria and authorities in that regulation. In addition, DOE-STD-1083-95 provides guidance on requesting, reviewing and granting exemptions to DOE nuclear safety rules.

CH Manager Responsibilities

Review and provide recommendation to CSO and EH-1 on the request for exemption.

Facility Group Manager, Acquisitions Group Manager, and Environmental Programs Group Manager Responsibilities

Review and recommend concurrence on exemption requests to the CH Manager.

d) Exemptions from external requirements

DOE activities may involve regulations from federal, state, and local agencies, and on occasion certain activities cannot occur in compliance with these external regulations. For example, DOE activities routinely involve the movement of materials or aircraft usage that cannot occur in compliance with Department of Transportation regulations.

*Facility Group Managers, Acquisitions Group Manager, and
Environmental Programs Group Manager Responsibilities*

Identify such instances where compliance with certain external regulations cannot be achieved, provide justification for an exemption as specified by the cognizant agency, and report as required to the appropriate DOE-HQ Office.

3. MONITOR IMPLEMENTATION OF CONTROLS

*Facility Group Manager, Acquisitions Group Manager, and Environmental
Programs Group Manager Responsibilities*

Monitor the proper implementation of controls. This should include an operational surveillance program in accordance with the CH Operational Surveillance Manual.

E. PERFORM WORK

While the safety of those performing work is ultimately in the hands of the workers themselves, every aspect of the preparation and planning for that work must be performed in a manner which ensures that the worker is supplied with all materials, training, equipment, supervision, and technical support necessary to complete the assigned task successfully, safely and efficiently. No activity should begin, or any facility started, unless the consequences of operation are understood and controlled.

While not directly performing the work, CH must be aware of the conditions under which work is performed. Primary methods include appropriate levels of readiness review, direct observation of contractor operations and monitoring for significant events. CH reserves the right to approve operations for certain categories of hazardous activities prior to startup. Lesser hazardous operations are approved through contract terms and conditions and an assurance that the contractor has an appropriate infrastructure for safe operations.

1. CONFIRM READINESS

a) Operational Readiness Reviews

*Facility Group Manager, Acquisitions Group Manager, and
Environmental Programs Group Manager Responsibilities*

Direct and approve the results of operational readiness reviews performed by the laboratory and CH.

b) Startup authorization for nuclear facilities

Startup and restart authority for nuclear facilities is outlined in Appendix B. This table has been excerpted from CH Order 5480.31, wherein it is Attachment I, Appendix B.

c) Startup authorization for non-nuclear facilities

Startup and restart authority for non-nuclear facilities resides with the Facility Group Managers.

2. PERFORM WORK SAFELY

a) Technical Training/Qualification

Facility Group Manager, Acquisitions Group Manager, and Environmental Programs Group Manager Responsibilities

Monitor the training performed by the contractors under their direction.

b) Maintenance

Facility Group Manager and Acquisitions Group Manager Responsibilities

Maintain cognizance of contractor maintenance programs. Determine that resources are provided for proper maintenance of the facilities under their cognizance.

c) Conduct of Operations

CH Manager Responsibilities

Establish the CH Operational Surveillance Program (CH M-5480.19) which delineates CH's approach to maintaining operational awareness at our facilities.

Facility Group Manager and Acquisitions Group Manager Responsibilities

Review and approve the contractor's conduct of operations programs and monitor their effectiveness. Assign Facility Representatives and Surveillance Representatives to monitor the day-to-day conduct of operations at each facility in accordance with the CH Operational Surveillance Manual.

Technical and Administrative Services Manager Responsibilities

Maintain a staff of subject matter experts sufficient to support Facility Representatives and Surveillance Representatives as needed.

d) Configuration Management

Facility Group Manager and Acquisitions Group Manager Responsibilities

Ensure contractor programs are in place and monitor their effectiveness. Assign Facility Representatives and Surveillance Representatives to monitor the day-to-day configuration management at each facility in accordance with the CH Operational Surveillance Manual.

e) Emergency Management

CH Manager Responsibilities

Approve the CH Emergency Management Plan. Submits the CH Emergency Readiness Assurance Plan to NN for approval.

Facility Group Manager and Acquisitions Group Manager Responsibilities

Ensure contractor programs are in place and monitor their effectiveness. Maintain a Group level emergency management plan. Provide a representative to the laboratory emergency operations center. Review and approve the contractor's emergency management plans. Prepare a Group Emergency Readiness Assurance Plan and submit to TAS for CH Manager approval.

Technical and Administrative Services Manager Responsibilities

Prepare the CH Emergency Management Plan. Prepare CH Emergency Readiness Assurance Plan using input from the line groups. Maintain the CH Emergency Operations Center in a ready to use state.

f) Quality Assurance

CH Manager Responsibilities

Implement the Department's quality assurance requirements.

Facility Group Manager and Acquisitions Group Manager Responsibilities

Through the appropriate Contracting Officer, direct the contractor to prepare and implement a quality assurance program.

Monitor the implementation of the contractor's quality assurance program.

g) Stop Work Authority

Facility Group Managers, Environmental Programs Group Manager, and Technical and Administrative Services Group Manager Responsibilities

Establish and implement a process for exercising appropriate stop work authority and for restarting work after necessary corrective actions have been taken. Ensure their employees understand their authority and responsibility to cause work to be stopped when they observe work which poses serious imminent danger to the workers, the public, or the environment.

F. COLLECT FEEDBACK AND PURSUE IMPROVEMENT

The management system should contain processes that continuously improve its operations' effectiveness, safety and efficiency.

1. GENERATION, COLLECTION AND DISSEMINATION OF INFORMATION

a) Lessons Learned Program

Facility Group Manager and Acquisitions Group Manager Responsibilities

Through the appropriate Contracting Officer, direct the contractor to develop a lessons-learned program and monitor its implementation.

b) Occurrence Reporting and Processing System

*Facility Group Manager, Acquisitions Group Manager, and
Environmental Programs Group Manager Responsibilities*

Through the appropriate Contracting Officer, direct the contractor to report occurrences on the ORPS. Review and approve the reports and provide feedback to the contractor. Closeout the ORPS reports.

c) Safety and Health Performance Measurements

*Facility Group Manager, Acquisitions Group Manager, and
Environmental Programs Group Manager Responsibilities*

Monitor implementation of the Safety and Health Performance Measurements System at the site.

d) Environment, Safety and Health (ES&H) Reporting Requirements (OSH, Environmental, Radiological)

*Facility Group Manager, Acquisitions Group Manager, and
Environmental Programs Group Manager Responsibilities*

Monitor implementation of the ES&H reporting at the site. Determine that information reporting is sufficient to meet needs.

e) CH Self Assessments

CH Manager Responsibilities

Approves the CH Self Assessment.

*Facility Group Manager, Acquisitions Group Manager, and
Environmental Programs Group Manager Responsibilities*

Performs an internal self-assessment.

2. MAKE CHANGES TO IMPROVE

CH Manager Responsibilities

Continuously improve the efficiency and quality of operations, and profit from prior experience and the lessons learned.

Facility Group Manager, Acquisitions Group Manager, and Environmental Programs Group Manager

Continuously improve the efficiency and quality of operations, and profit from prior experience and the lessons learned.

Monitor the implementation and effectiveness of the contractors' systems for the analysis of feedback information, the development of corresponding improvement actions, and their tracking to completion.

3. OVERSIGHT AND ENFORCEMENT

a) Line Oversight

CH Manager Responsibilities

Ensure CH Line Groups effectively implement DOE P 450.5 *Line Environment, Safety and Health Oversight*.

Maintain operational awareness of CH Line Group's activities by participation in key decisions; performing management walkthroughs and observations; systematic assessments of ES&H programs and processes; and continuing evaluation of performance information from occurrence reports, environmental monitoring, performance metrics, and other sources.

Facility Group Manager, Acquisitions Group Manager, and Environmental Programs Group Manager Responsibilities

Establish a program/procedure to implement DOE P 450.5 *Line ES&H Oversight* and CH M-5480.19 *Operational Surveillance* to maintain sufficient operational awareness of contractor activities.

Implement a process for determining the appropriate type(s), frequency, and level of rigor of operational awareness activities commensurate with the hazards and risks associated with the Laboratory's facilities and work. Assure that all site corrective action commitments are tracked through completion.

b) Price Anderson Enforcement*Facility Group Manager, Acquisitions Group Manager, and
Environmental Programs Group Manager Responsibilities*

Assign staff to perform the duty of DOE Price Anderson coordinator.

Advise the contractor on the referral of nuclear safety violations to the Office of Enforcement for review under the provisions of 10 CFR Part 820 and 10 CFR 835, where appropriate.

Provide information and supports investigations.

Participates in enforcement conferences with the Office of Enforcement.

CH Price Anderson Act Coordinator Responsibilities

Responsible for coordinating requests for information from DOE Headquarters on Price Anderson issues.

Provides technical support to the DOE site Price Anderson Coordinator on the referral of nuclear safety violations to the Office of Enforcement under the provisions of 10 CFR Part 820 and 10 CFR Part 835, where appropriate.

Provides information and supports investigations as requested by the DOE site Price Anderson Coordinator.

Advises the CH Manager on Price Anderson issues.

c) Facility Representative Program*CH Manager Responsibilities*

Assign the Technical Administrative Services Group Manager responsibility for implementation of the CH Facility Representative Program.

*Technical Administrative Services Group Manager
Responsibilities*

Appoint the CH Facility Representative Program Sponsor,
and CH Facility Representative Program Manager.

Implement CH Facility Representative Program.

*CH Facility Representative Program Sponsor, and Program
Manager Responsibilities*

Develop a written CH Facility Representative Program in
accordance with the applicable recommendations of DOE-
STD-1063, "Facility Representatives Program."

d) Type A and Type B Accident Investigations

CH Manager Responsibilities

Ensure development of a CH Accident Investigation
Program.

Assign the Technical and Administrative Services Group
Manager to appoint an accident investigation point-of-
contact to act as liaison with Office of the Deputy Assistant
Secretary for Oversight.

Facility Group Manager Responsibilities

Implement the CH Accident Investigation Program.

*Technical and Administrative Services Group Manager
Responsibilities*

Appoint an accident investigation point-of-contact to serve
as liaison with the Office of the Deputy Assistant Secretary
for Oversight.

Develop the CH Accident Investigation Program.

e) DOE Aviation Board of Directors

CH Manager Responsibilities

Recommend to the Secretary of Energy for appointment a
CH representative to the DOE Aviation Board of Directors.

*Technical and Administrative Services Group Manager
Responsibilities*

Propose candidates for selection by the Manager to serve as the CH representative on the DOE Aviation Board of Directors in accordance with DOE O 440.2, "Aviation."

4. CONTRACTOR PERFORMANCE ASSESSMENT

CH Manager Responsibilities

Review and approve the Facility Group's yearly assessment of the contractor's performance.

Facility Group Manager and Acquisitions Group Manager Responsibilities

Through the appropriate Contracting Officer, direct the contractor to perform self-assessments. Review and comment on the contractor's self-assessments. Validate their accuracy through information gathered by operational awareness activities.

Perform a yearly assessment of contractor's performance and provide it to the CH Manager for approval.

5. EMPLOYEE CONCERN MANAGEMENT

CH Manager Responsibilities

Appoints a CH Employee Concerns Program Manager.

Facility Group Manager, Acquisitions Group Manager, and Environmental Programs Group Manager Responsibilities

Immediately communicate receipt of all concerns received from contractor and subcontractor employees to the CH Employee Concerns Program Manager.

Take immediate action to suspend workplace conditions and practices that have created an imminent danger situation.

Support the investigation of contractor and subcontractor employee concerns as directed by the CH Employee Concerns Program Manager.

Ensure implementation of corrective actions to resolve concerns.

CH Employee Concerns Program Manager Responsibilities

Ensure implementation of the CH Employee Concerns Program in accordance with CH Order 442.1.

X. DOE-CH SAFETY MANAGEMENT FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR GOGO FACILITIES

Note: This section includes only the CH Manager and the GOGO Director's Functions, Responsibilities and Authorities, see section IX for other organizations.

A. DIRECTION

CH's GOGO Laboratory Directors have primary responsibility for functions relating to safety management. Each GOGO Laboratory is responsible for planning its activities, budgeting and allocating available resources to meet its objectives, contributing to the development and implementation of requirements, meeting Department-wide and CH strategic objectives, and executing its work in a safe and environmentally sound manner. They are responsible for performing work consistent with policy and requirements; monitoring and assessing day-to-day activities, and instituting appropriate corrective actions to improve performance.

CH's Technical and Administrative Services Group, Financial Services Group and Legal Services Group provide support to the GOGO Laboratories in carrying out their responsibilities. This support includes making available needed technical expertise, providing interpretations of safety regulations, coordinating safety related activities that cross cut organizational boundaries, administering flow-down of safety requirements to DOE-CH prime contracts, and representing the office at DOE-wide ES&H forums.

The responsibilities and authorities for providing direction related to ensuring safety are delineated below.

1. DOE STRATEGIC PLANS, INCLUDING MISSION STATEMENTS

CH Manager Responsibilities

Provide input to and meet the provisions of the Secretary's Strategic Plan including the Department's Mission Statement.

2. CH STRATEGIC PLANS, INCLUDING MISSION STATEMENTS

CH Manager Responsibilities

Lead efforts to prepare and maintain the CH strategic plan, approve the CH strategic plan.

GOGO Director Responsibilities

Participate in efforts to prepare and maintain the CH strategic plan.

3. CH BUSINESS PLANS

CH Manager Responsibilities

Approves the Group Business Plans. Assure that appropriate ES&H related goals are contained in the Group Business Plans and are included as performance elements in the subordinate manager's performance appraisal plan.

GOGO Director Responsibilities

Implements the CH Strategic Plan through development and implementation of a Group Business Plan. Includes appropriate ES&H related goals in their business plans. Ensures that the Group's ES&H related goals are appropriately reflected in their staff's performance appraisal plans.

4. INPUT TO PROGRAM OFFICE MISSION ASSIGNMENT

CH Manager Responsibilities

Coordinate interactions with CH's CSOs, and champion the interests of CH.

GOGO Director Responsibilities

Review and provide input to the program guidance developed by the CSO.

Implement program guidance.

5. INPUT TO PROGRAM OFFICE BUDGET

CH Manager Responsibilities

Review the proposed budget and provide input to the CSO on the adequacy of the proposal to support missions and safety initiatives.

GOGO Director Responsibilities

Review the proposed budget and provide input to the CH Manager and the CSO on the adequacy of the proposal to support missions and safety initiatives.

6. INPUT TO PROGRAM OFFICE RESOURCE ALLOCATIONS

CH Manager Responsibilities

Review and provide input to CSO regarding the adequacy of the proposed allocations to meet mission and safety initiatives. In the event the proposed budget is insufficient, propose an alternate plan to LPSO that can be accomplished within budget and/or identify needed additional funds.

GOGO Director Responsibilities

Review and provide input to CH Manager regarding the adequacy of the proposed allocations to meet mission and safety initiatives. In the event the proposed budget is insufficient, propose an alternate plan to CH Manager that can be accomplished within budget and/or identify needed additional funds.

7. LPSO & CSOs FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUALS

CH Manager Responsibilities

Review the proposed Functions, Responsibilities and Authorities Manuals (FRAM) of the LPSO and CSOs.

GOGO Director Responsibilities

Review the proposed LPSO and CSOs FRAM(s) and provide input to the CH Manager on its adequacy.

8. CH FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL

CH Manager Responsibilities

Prepare, approve, and implement the CH FRAM which delineates how applicable responsibilities and authorities for ES&H-related functions are performed within CH.

GOGO Director Responsibilities

Review, provide input, and implement the CH FRAM.

9. ENVIRONMENT, SAFETY AND HEALTH DIRECTIVES PROCESS

The following subsections describe CH's responsibilities with respect to the processes for developing the various ES&H directives used within the Department. Rules are the equivalent of law. Policies, Orders, Manuals, and Notices are considered mandatory requirements wherever applicable. Guides and Technical Standards are considered guidance and consequently are not mandatory. CH issues local CH directives to assign internal authorities and responsibilities and to provide internal procedures.

a) Directives

CH Manager Responsibilities

Designate a Directives Point of Contact to coordinate review of directives. Designates the CH Office of Primary Interest (OPI). Review and comment on proposed DOE Directives. Determine proposed DOE Directives are consistent with CH mission and safety goals. Approve CH comments and transmit to DOE-HQ.

Approve CH Directives

GOGO Directors Responsibilities

Review and comment on proposed DOE and CH Directives. Provide staff participation on focus groups or technical development teams to ensure a quality product is prepared during the development phase. Determine if proposed Directives are consistent with their laboratory's mission and safety goals.

b) Internal Operating Procedures

GOGO Directors Responsibilities

As necessary, prepare and approve internal operating procedures for performing work.

c) DOE Technical Standards

CH Manager Responsibilities

Determine if proposed DOE Technical Standards are consistent with CH mission and safety goals.

GOGO Directors Responsibilities

Review and comment on proposed DOE Technical Standards. Recommend technical and economical improvements where appropriate. Provide staff participation on focus groups or technical development teams to ensure a quality product is prepared during the development phase. Determine if proposed DOE Technical Standards are consistent with their laboratory's mission and safety goals.

d) Nuclear Safety Rules

CH Manager Responsibilities

Determine if proposed rules are consistent with CH mission and safety goals. Approve CH comments on proposed rules.

GOGO Directors Responsibilities

Review and comment on proposed rules. Recommend technical and economical improvements where appropriate. Provide staff participation on focus groups or technical development teams to ensure a quality product is prepared during the development phase. Determine if proposed rules are consistent with their laboratory's mission and safety goals.

e) Other Rules

Technical and Administrative Services Group Manager and Legal Services Group Chief Counsel Responsibilities

Provide assistance in understanding and implementing environmental rules, and coordinates comments to proposed changes to environmental regulations, and also with Occupational Safety and Health regulations, and Department of Transportation and Nuclear Regulatory Commission packaging requirements for transporting radioactive materials.

f) Coordination of Direction to a Site

CH Manager Responsibilities

If time allows, the CH Manager will notify the LPSO of any inconsistencies in direction or guidance and the impact on work, schedule, and budget and will coordinate with the LPSO to resolve such inconsistencies. If time does not allow for such coordination, or if the coordination is not

moving towards a timely resolution of the inconsistencies, the CH Manager will provide resolution of the inconsistencies to the CH line managers, and notify the LPSO and CSOs of the actions taken.

GOGO Director Responsibilities

Identify inconsistencies in LPSOs' and CSOs' direction to their site and propose resolution to the CH Manager.

10. TECHNICAL QUALIFICATION AND COMPETENCY

The Department's Technical Qualification Program (TQP) applies to DOE federal technical employees whose duties could impact the safe operation of a defense nuclear facility. CH does not have responsibility for any of the Department's defense nuclear facilities. However, in the interest of ensuring the technical competence of its federal technical workforce, CH management has elected to use the functional area qualification standards, which have been developed as part of the Department's TQP, in the qualification of CH technical employees.

CH Manager Responsibilities

Establish the CH technical training program

Determine, with input from Group Managers that employ federal technical employees, the technical functional areas for which employee qualification will be given priority resource allocation.

GOGO Director Responsibilities

Train and qualify their technical employees (implement CH-M 360.1).

11. NON-M&O PRIME SUPPORT SERVICES CONTRACTS

GOGO Directors/Contracting Officer Responsibilities

Ensure support service contractors effectively implement contract requirements consistent with DOE Orders and guidance, applicable Federal, state and local laws, and good business practices.

Determine the applicability of DEAR 970.5204-2, and if deemed applicable, ensure the contractor develops an Integrated Safety Management System in accordance with DEAR 970.5204-2.

Approve written directives prior to implementation.

Approve special event staffing increases.

B. DEFINE SCOPE OF WORK

Once DOE has established its missions and resources, DOE determines the specific work which needs to be done at its sites in order to meet those missions. Department expectations, safety priorities, and available resources are considered in defining the scope of work to be performed. These activities must be prioritized in order to ensure that DOE resources are most effectively applied. Following definition of the mission for GOGOs, a documented Integrated Safety Management System (ISMS) is developed for each site. The ISMS establishes the management system which controls the work consistent with legal requirements, regulatory agreements, DOE Directives, available resources, and safety priorities.

1. TRANSLATE MISSION INTO WORK

Mission is translated into work through the implementation of documents such as Field Work Proposals, Project Data Sheets, Construction Directive Authorizations, Program Authorization Letters and EM Ten Year Plans for each site.

2. LABORATORY'S INTEGRATED SAFETY MANAGEMENT SYSTEM

CH Manager Responsibilities

Establish goals for the Integrated Safety Management Systems of Laboratories under the cognizance of CH.

Appoint the ISMS Verification (ISMSV) Team Leader, and provide direction to the ISMSV Team Leader on the scope and expectations for the ISMSV. Approve the ISMSV team members and the ISMSV Plan.

Approve the Laboratory's ISMS based upon the results of the ISMS Verification.

GOGO Director Responsibilities

Ensure his/her Laboratory develops and implements an acceptable ISMS.

Inform the CH Manager when his/her Laboratory is ready for its ISMS Verification (phase 1 or phase 2 or a combined phase 1 & 2).

Provide input to the CH Manager regarding the scope and expectations for the ISMSV, and for the selection of the ISMSV Team Leader and team members.

3. **ALLOCATE RESOURCES**

In order to perform work at DOE sites, DOE must allocate resources for that work.

CH Manager Responsibilities

Ensure funds and resources are appropriately used. If there are not sufficient funds or resources available to safely perform the work the CH Manager shall reallocate funds/resources (within the funds available to CH), obtain additional funding from the CSO, or direct cessation of activities.

GOGO Director Responsibilities

Prepare budget documents in accordance with DEAR, DOE Order 135.1, and DOE Manual 135.1-1 to allocate funds and resources. Ensure funds and resources are appropriately used. If there are not sufficient funds or resources available to safely perform the work, the Group Manager shall reallocate funds/resources (within funds available to the Group), obtain additional funds/resources from the CH Manager, or direct cessation of activities.

4. **PRIORITIZE TASKS**

Work must be prioritized to ensure that DOE resources are most effectively used and mission and safety expectations are met within available budgets.

CH Manager Responsibilities

Ensure development and implementation of a system for prioritization of activities to assure that actions necessary to safely perform work are identified and funded.

Assign the Technical and Administrative Services Group Manager to develop a CH Environment, Safety and Health and Infrastructure (ESH&I) Management Program.

GOGO Manager and Acquisitions Group Manager Responsibilities

Implement the management system for prioritization of activities in accordance with the CH ESH&I Management Program.

Assure that appropriate Stakeholders have had an opportunity to provide input into the ES&H or ESH&I Management Plan.

Technical and Administrative Services Group Manager Responsibilities

Develop the CH ESH&I Management Program.

Appoint a point-of-contact to serve as the CH liaison to DOE Headquarters on matters pertaining to the prioritization of site activities. To advise the CH Manager of any strategic or significant issues pertaining to the development of CH facilities ES&H or ESH&I Management Plans. Support the CH Manager and the Chicago Executive Committee with the identification of ES&H priorities.

5. ISSUES MANAGEMENT

In support of the Department's commitments for DNFSB Recommendation 98-1, identified safety issues are to be tracked to closure to ensure successful implementation of corrective actions.

CH Manager Responsibilities

Serve as the "Cognizant Line Manager" for resolution of all CH safety issues in the DOE Corrective Action Tracking System.

Approves Corrective Action Plans and individual corrective actions.

Appoint the Corrective Action Review Board (CARB) Chairperson.

Chicago Executive Committee Member Responsibilities

Serve as the "Responsible Line Manager" for resolution/implementation of safety issues in the DOE Corrective Action Tracking System that originate from within his/her respective organization and/or contractor.

Ensure that safety issues identified in the DOE Corrective Action Tracking System are managed in accordance with corrective action plan commitments.

Utilize the CH Strategic Initiative Management Information System to track the status of safety issue corrective action plans.

Obtain support from the CH point-of-contact for the DOE Corrective Action Tracking System to ensure the successful reporting of the status of recognized safety issues.

GOGO Director Responsibilities

Assure Corrective Action Plans (CAPs) are developed and any new actions for existing CAPs are developed consistent with DOE and CH requirements and expectations.

Appoint a CAP POC for each CAP.

Work with the CARB in the development, tracking, verification of corrective action(s) completion, and CAP closure.

Submit CAPs and any new actions to existing CAPs to the CLM for approval.

Technical and Administrative Services Group Manager Responsibilities

Maintain the CH Strategic Initiative Management Information System to track the status of safety issue corrective action plans.

Appoint a CH point-of-contact for the local administration of the DOE Corrective Action Tracking System.

Assign subject matter experts in support to the CARB.

C. ANALYZE HAZARDS

The hazards involved in any work activity must be identified, analyzed and categorized so that the appropriate safety standards can be selected commensurate with the work to be performed. The system to identify, analyze, and categorize the hazards should also be tailored to the expected hazards for the facility/activity.

1. IDENTIFY AND ANALYZE HAZARDS

CH Manager Responsibilities

Review and approve the hazard analysis provided by the GOGO.

GOGO Director Responsibilities

Prepare hazard analyses. Determine that the analyses properly cover the hazards associated with the work and provide sufficient information for the selection of safety standards.

2. CATEGORIZE FACILITY/ACTIVITY BASED ON THE HAZARDS

CH Manager Responsibilities

Approve and issue the CH Nuclear facilities list.

GOGO Director Responsibilities

Prepare the facility/activity list identifying the hazard classification levels for each facility/activity regarding the type and amounts of hazards. For nuclear facilities, provide input to the CH Nuclear Facilities list.

D. DEVELOP AND IMPLEMENT CONTROLS

A set of ES&H requirements/standards appropriate to the work and the hazards must be established. In addition to DOE directives and rules, there are state, local and other federal laws and regulations that must be met, and a body of consensus and professional association technical standards and guides that define acceptable methods of conducting activities. Also, there are often agreements that DOE has established with other organizations. The planning and preparations for conducting operations at DOE facilities must include the identification of any and all such requirements that apply to the planned activities, and steps must be taken to achieve compliance or to make timely application, where warranted, for exemption from the requirements. Once underway, DOE line management should be vigilant toward changes in requirements, and in active pursuit of better and more efficient methods of maintaining compliance.

1. ESTABLISH SAFETY ENVELOPE

a) ES&H site/facility specific requirements for Hazard Category 2 and below nuclear facilities and non-nuclear facilities.

CH Manager Responsibilities

Approves the facility specific standard set, Safety Documentation and Authorization Bases for GOGOs.

GOGO Director Responsibilities

Develops the facility-specific standards set, the Safety documentation and Authorization Bases and provides these to the CH Manager for approval.

b) Authorization Basis

The authorization basis consists of the safety documentation supporting the decision to allow a process or facility to operate. Included are operational and environmental requirements found in regulations and specific permits, and for specific activities, work packages and job safety analyses.

The safety envelope consists of the range of conditions covered by the safety documentation of a process or facility under which safe operation is adequately controlled. Safety documentation includes the reports, memoranda, and other approved documents that identify the hazards of a process or a facility, and describes the measures for their control. The safety basis is the combination of information relating to the control of hazards at a facility (including design, engineering analyses, and administrative controls) upon which DOE depends for its conclusion that activities at the facility can be conducted safely.

c) Safety Documentation/Authorization Basis for Category 2 and below hazard nuclear facilities and non-nuclear facilities*CH Manager Responsibilities*

Direct the preparation of the authorization basis and associated safety documentation, approve these documents, and monitor the implementation by the DOE operating organization.

GOGO Director Responsibilities

Prepare and implement authorization basis and associated safety documentation.

d) Controls to prevent and mitigate hazards for Category 2 and below hazard nuclear facilities and non-nuclear facilities*CH Manager Responsibilities*

Direct the DOE operating organization to prepare documentation for controls for the prevention and mitigation of hazards.

Approve the adequacy of controls for the prevention and mitigation of hazards.

GOGO Director Responsibilities

Develop and document controls for the prevention and mitigation of hazards.

e) Nuclear Safety Rule Implementation Plans, Programs, and Procedures

CH Manager Responsibilities

Assign staff to participate on Rule Implementation Plan Working Groups (RIWGs), if established.

Maintain cognizance of activities pertaining to the review and approval of contractor nuclear safety implementation plans submitted in accordance with the requirements of 10 CFR Part 835.

GOGO Director Responsibilities

Assign staff to lead IPRTs.

Prepare and submit nuclear safety implementation plans in accordance with the requirements of 10 CFR Part 835.

Approve implementation plans.

2. EXEMPTIONS

a) Exemptions from DOE ES&H Directive Requirements (other than rules).

Note: at facilities where the Work Smart Standards Process has been implemented, exemptions from DOE ES&H Directive (contained primarily in the 400 and 5000 series directives) requirements are not necessary, as their applicability would have been evaluated during the WSS process. DOE ES&H directive requirements not selected for inclusion in the WSS Set are considered exempted. Refer to DOE P 450.3 and DOE M 450.3-1 for detailed information on the WSS/N&S process.

CH Manager Responsibilities

Review and approve exemption requests from GOGO Directors for Hazard Category 2 or below nuclear facilities and non-nuclear facilities (unless other approval authority is specifically noted in the directive).

Review and recommend approval of exemption requests to EH for exemptions to DOE O 5400.1, 5400.5, and 5820.2A.

GOGO Director Responsibilities

Propose exemption requests for Hazard Category 2 or below nuclear facilities and non-nuclear facilities to the CH Manager (unless other approval authority is specifically noted in the directive; e.g., DOE O 5400.1, 5400.5, and 5820.2A).

b) Exemptions from Requirements in 10 CFR Part 835

Exemptions from the requirements of 10 CFR Part 835 are specifically authorized in 10 CFR Part 820, Subpart E. Individuals requesting and processing exemptions to these regulations should refer to the criteria and authorities in that regulation. In addition, DOE-STD-1083-95 provides guidance on requesting, reviewing and granting exemptions to DOE nuclear safety rules.

CH Manager Responsibilities

Review and provide recommendation to CSO and EH-1 on the request for exemption.

GOGO Director Responsibilities

Develop and Propose exemption requests.

c) Exemptions from external requirements

DOE activities may involve regulations from federal, state, and local agencies, and on occasion certain activities cannot occur in compliance with these external regulations. For example, DOE activities routinely involve the movement of materials or aircraft usage that cannot occur in compliance with Department of Transportation regulations.

GOGO Director Responsibilities

Identify such instances where compliance with certain external regulations cannot be achieved, provide justification for an exemption as specified by the cognizant agency, and report as required to the appropriate DOE-HQ Office.

3. IMPLEMENT CONTROLS

CH Manager Responsibilities

Monitor the proper implementation of controls.

GOGO Director Responsibilities

Implement controls.

E. PERFORM WORK

While the safety of those performing work is ultimately in the hands of the workers themselves, every aspect of the preparation and planning for that work must be performed in a manner which ensures that the worker is supplied with all materials, training, equipment, supervision, and technical support necessary to complete the assigned task successfully, safely and efficiently. No activity should begin, or any facility started, unless the consequences of operation are understood and controlled.

1. CONFIRM READINESS

a) Operational Readiness Reviews

CH Manager Responsibilities

Perform an operational readiness review of GOGOs.

GOGO Director Responsibilities

Direct and approve the results of operational readiness assessment. Perform internal operational readiness review.

b) Startup authorization for nuclear facilities

Startup and restart authority for nuclear facilities is outlined in Appendix B. This table has been excerpted from CH Order 5480.31, wherein it is Attachment I, Appendix B.

c) Startup authorization for non-nuclear facilities

Startup and restart authority for non-nuclear facilities resides with the GOGO Directors.

2. PERFORM WORK SAFELY

a) Maintenance

GOGO Director Responsibilities

Develop and implement effective maintenance programs.

b) Conduct of Operations

GOGO Director Responsibilities

Establish and implement a Conduct of Operations program to conduct operations in a safe and effective manner.

c) Configuration Management

GOGO Director Responsibilities

Establish and implement an effective configuration management program.

d) Emergency Management

CH Manager Responsibilities

Approve the CH Emergency Management Plan. Submits the CH Emergency Readiness Assurance Plan to NN for approval.

GOGO Director Responsibilities

Prepare and implement an Emergency Management Plan. Prepare a Group level Emergency Readiness Assurance Plan and submit to TAS for CH Manager approval.

e) Quality Assurance

CH Manager Responsibilities

Implement the Department's quality assurance requirements.

GOGO Director Responsibilities

Develop and implement a facility quality assurance program.

f) Stop Work Authority

GOGO Director Responsibilities

Establish and implement a process for exercising appropriate stop work authority and for restarting work after necessary corrective actions have been taken. Ensure their employees understand their authority and responsibility to cause work to be stopped when they observe work which poses serious imminent danger to the workers, the public, or the environment.

F. COLLECT FEEDBACK AND PURSUE IMPROVEMENT

The management system should contain processes that continuously improve its operations' effectiveness, safety and efficiency.

1. GENERATION, COLLECTION AND DISSEMINATION OF INFORMATION

a) Lessons Learned Program

CH Manager Responsibilities

Direct the GOGOs to develop a lessons-learned program.

GOGO Director Responsibilities

Develop and implement a lessons-learned program.

b) Occurrence Reporting and Processing System

GOGO Director Responsibilities

Report occurrences on the ORPS, develop and implement corrective actions. Close-out ORPS reports.

c) Safety and Health Performance Measurements*CH Manager Responsibilities*

Direct the GOGOs to develop a Safety and Health Performance Measurements System.

GOGO Director Responsibilities

Prepare and implement the Safety and Health Performance Measurements System at the laboratory.

d) Environment, Safety and Health (ES&H) Reporting Requirements (OSH, Environmental, Radiological)*GOGO Director Responsibilities*

Implement ES&H reporting at the site. Determine that information reporting is sufficient to meet DOE needs.

e) CH Self Assessments*CH Manager Responsibilities*

Approves the CH Self Assessment.

GOGO Director Responsibilities

Performs an internal self-assessment.

2. MAKE CHANGES TO IMPROVE*CH Manager Responsibilities*

Continuously improve the efficiency and quality of operations, and profit from prior experience and the lessons learned.

GOGO Director Responsibilities

Continuously improve the efficiency and quality of operations, and profit from prior experience and the lessons learned.

3. OVERSIGHT AND ENFORCEMENT

a) Line Oversight

CH Manager Responsibilities

Maintain operational awareness of CH Line Group's activities by participation in key decisions; performing management walkthroughs and observations; systematic assessments of ES&H programs and processes; and continuing evaluation of performance information from occurrence reports, environmental monitoring, performance metrics, and other sources.

b) Price Anderson Enforcement

GOGO Director Responsibilities

Assign staff to perform the duty of DOE Price Anderson coordinator.

Self-report nuclear safety violations to the Office of Enforcement for review under the provisions of 10 CFR Part 820 and 10 CFR Part 835, where appropriate.

Provide information and supports investigations.

Participates in enforcement conferences with the Office of Enforcement.

CH Price Anderson Act Coordinator Responsibilities

Responsible for coordinating requests for information from DOE Headquarters on Price Anderson issues.

Provides technical support to the DOE site Price Anderson Coordinator on the referral of nuclear safety violations to the Office of Enforcement under the provisions of 10 CFR Part 820 and 10 CFR Part 835, where appropriate.

Provides information and supports investigations as requested by the DOE site Price Anderson Coordinator.

Advises the CH Manager on Price Anderson issues.

c) Type A and Type B Accident Investigations*CH Manager Responsibilities*

Ensure development of a CH Accident Investigation Program.

Assign the Technical and Administrative Services Group Manager to appoint an accident investigation point-of-contact to act as liaison with Office of the Deputy Assistant Secretary for Oversight.

GOGO Manager Responsibilities

Implement the CH Accident Investigation Program.

Technical and Administrative Services Group Manager Responsibilities

Appoint an accident investigation point-of-contact to serve as liaison with the Office of the Deputy Assistant Secretary for Oversight.

Develop the CH Accident Investigation Program.

d) DOE Aviation Board of Directors*CH Manager Responsibilities*

Recommend to the Secretary of Energy for appointment a CH representative to the DOE Aviation Board of Directors.

Technical and Administrative Services Group Manager Responsibilities

Propose candidates for selection by the Manager to serve as the CH representative on the DOE Aviation Board of Directors in accordance with DOE O 440.2, "Aviation."

4. EMPLOYEE CONCERN MANAGEMENT*CH Manager Responsibilities*

Appoints a CH Employee Concerns Program Manager.

GOGO Director Responsibilities

Immediately communicate receipt of all concerns received from staff to the CH Employee Concerns Program Manager.

Take immediate action to suspend workplace conditions and practices that have created an imminent danger situation.

Support the investigation of staff concerns as directed by the CH Employee Concerns Program Manager.

Ensure implementation of corrective actions to resolve concerns.

CH Employee Concerns Program Manager Responsibilities

Ensure implementation of the CH Employee Concerns Program in accordance with CH Order 442.1.

XI. DOE-CH SAFETY MANAGEMENT FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR CORPORATE CH

Note: This section includes the functions, responsibilities and authorities of Corporate CH that are not covered in section IX, DOE Safety Management Functions, Responsibilities, and Authorities for GOCO Facilities and section X, DOE Safety Management Functions, Responsibilities, and Authorities for GOGO Facilities.

A. DIRECTION

The CH Manager is ultimately responsible for functions relating to safety management, but all CH management has primary responsibility for implementing and ensuring compliance with Federal Employee Occupational Safety and Health (FEOSH) requirements.

CH federal employees are to follow safety regulations established for locations where they are assigned to work. If no such regulations exist, the employee will work according to direction provided by their immediate supervisor.

The responsibilities and authorities for providing direction related to ensuring safety are delineated below.

1. CH FUNCTIONS, RESPONSIBILITIES AND AUTHORITIES MANUAL

CH Manager Responsibilities

Approve and implement the CH Functions, Responsibilities and Authorities Manual, which delineates how applicable FEOSH responsibilities and authorities are performed within CH.

Forwards CH Functions, Responsibilities and Authorities Manual to LPSO for review.

Chicago Executive Committee Member Responsibilities

Review and implement the CH Functions, Responsibilities and Authorities Manual.

Technical and Administrative Services Group Manager Responsibilities

Assigns staff to maintain the CH Functions, Responsibilities and Authorities Manual. Submit revisions to the CH Manager for approval.

Annual review and revision of the CH Functions, Responsibilities and Authorities Manual as necessary.

2. ENVIRONMENT, SAFETY AND HEALTH DIRECTIVES PROCESS

The following subsections describe CH's responsibilities with respect to the processes for developing the various ES&H directives used within the Department. Rules are the equivalent of law and are enforceable regardless of contract language. Policies, Orders, manuals, and Notices are considered mandatory requirements and are binding on support service contractors when incorporated into contracts and on CH staff wherever applicable. Guides and Technical Standards are considered guidance and consequently are not mandatory. CH issues local CH directives to assign internal authorities and responsibilities and to provide internal procedures. For further information on Department Directives, see CH Order 251.1 and CH Manual 251.1.

a) Directives

CH Manager Responsibilities

Designate the Technical and Administrative Services Group Manager as the Directives Point-of-Contact to coordinate review of DOE and CH directives with respect to FEOSH.

Approve CH comments and transmit to DOE-HQ.

Approve CH Directives.

Technical and Administrative Services Group Manager Responsibilities

Assigns staff to coordinate the review of DOE and CH directives to determine if proposed directives are consistent with CH FEOSH initiatives.

b) Internal Operating Procedures

CH Manager Responsibilities

Approve corporate CH internal operating procedures as applicable.

Chicago Executive Committee Member Responsibilities

As necessary, prepare and approve internal operating procedures for performing work.

Technical and Administrative Services Group Manager Responsibilities

Provide support to the Chicago Executive Committee on the preparation of corporate CH internal operating procedures.

c) Coordination of Direction

CH Manager Responsibilities

Notification of the LPSO of inconsistencies in FEOSH direction or guidance and resulting impact on work, schedule, and budget, and will coordinate with the LPSO to resolve such inconsistencies.

Assign the Technical and Administrative Services Group Manager with the responsibility of disseminating information on FEOSH initiatives to the Chicago Executive Committee members.

Chicago Executive Committee Member Responsibilities

Implement FEOSH initiatives within their respective organizations.

Technical and Administrative Services Group Manager Responsibilities

Disseminate information on FEOSH initiatives.

3. NON-M&O PRIME SUPPORT SERVICES CONTRACTS*Contracting Officer Responsibilities*

Ensure support service contractors effectively implement contract requirements consistent with DOE Orders and guidance, applicable Federal, state and local laws, and good business practices.

Determine the applicability of DEAR 970.5204-2, and if deemed applicable, ensure the contractor develops an Integrated Safety Management System in accordance with DEAR 970.5204-2.

Approve written directives prior to implementation.

Approve special event staffing increases.

B. DEFINE SCOPE OF WORK

FEOSH expectations, staff capabilities, safety priorities, and available resources are considered in defining the scope of work to be performed. These activities must be prioritized in order to ensure that DOE resources are most effectively applied.

1. SET DOE EXPECTATIONS*CH Manager Responsibilities*

Coordinate the establishment of FEOSH expectations to support DOE goals and expectations.

Chicago Executive Committee Member Responsibilities

Provide input to the Office of the Manager to support the establishment of FEOSH expectations.

Ensures that each Group's Business Plan, and as applicable, Group-level procedures, manuals, etc., appropriately incorporates FEOSH expectations.

Technical and Administrative Services Group, Financial Services Group, and Legal Services Group Responsibilities

Ensure the Chicago Executive Committee is fully informed of FEOSH expectations, including performance measures regarding the work to be performed and safety requirements controlling that work.

2. ALLOCATE RESOURCES

In order to perform work safely, CH must allocate resources for that work.

CH Manger Responsibilities

Secure sufficient Federal resources and funds to support FEOSH. Ensure funds and resources are appropriately used. If there are not sufficient funds or resources available to safely perform the work reallocate funds/resources (within the funds available to CH), obtain additional funding from the LPSO and/or CSOs, or direct cessation of activities.

Chicago Executive Committee Member Responsibilities

Provide input to the Office of the Manager for the determination of the resources necessary to adequately implement FEOSH requirements.

CH Resource Board Responsibilities

Allocate funds to implement FEOSH requirements. Prioritize resource allocations related to FEOSH activities.

Technical and Administrative Services Group Manager Responsibilities

Support the Office of the Manager, the Chicago Executive Committee, and the CH Resource Board in the identification of FEOSH resources needs and prioritization determinations.

3. PRIORITIZE TASKS

Work must be prioritized to ensure that DOE resources are most effectively used and mission and safety expectations are met within available budgets.

CH Manager Responsibilities

Ensure development and implementation of a system for prioritization of FEOSH activities to assure that actions necessary to safely perform work are identified and funded.

Assign the Technical and Administrative Services Group Manager to develop a CH Environment, Safety and Health and Infrastructure (ESH&I) Management Program.

Chicago Executive Committee Member Responsibilities

Prioritize FEOSH activities to assure that actions necessary to safely perform work and protect the public and environment are identified and funded.

Technical and Administrative Services Group Manager Responsibilities

Develop the CH ESH&I Management Program.

Appoint a point-of-contact to serve as the CH liaison to DOE Headquarters on matters pertaining to the prioritization of site activities. To advise the CH Manager of any strategic or significant issues pertaining to the development of CH facilities ES&H or ESH&I Management Plans. Support the CH Manager and the Chicago Executive Committee with the identification of ES&H priorities.

4. ISSUES MANAGEMENT

In support of the Department's commitments for DNFSB Recommendation 98-1, identified safety issues are to be tracked to closure to ensure successful implementation of corrective actions.

CH Manager Responsibilities

Direct the Technical and Administrative Services Group Manager to appoint a CH point-of-contact for the local administration of the DOE Corrective Action Tracking System.

Serve as the "Cognizant Line Manager" for resolution of all CH safety issues in the DOE Corrective Action Tracking System.

Chicago Executive Committee Member Responsibilities

Serve as the "Responsible Line Manager" for resolution of safety issues in the DOE Corrective Action Tracking System that originate from within his/her respective organization.

Ensure that safety issues identified in the DOE Corrective Action Tracking System are managed in accordance with corrective action plan commitments.

Utilize the CH Strategic Initiative Management Information System to track the status of safety issue corrective action plans.

Obtain support from the CH point-of-contact for the DOE Corrective Action Tracking System to ensure the successful reporting of the status of recognized safety issues.

Technical and Administrative Services Group Manager Responsibilities

Maintain the CH Strategic Initiative Management Information System to track the status of safety issue corrective action plans.

Appoint a CH point-of-contact for the local administration of the DOE Corrective Action Tracking System.

C. DEVELOP AND IMPLEMENT CONTROLS

A set of ES&H directives, requirements, and standards appropriate to the work and the hazards must be established. In addition to DOE Directives and rules, there are state, local and other federal laws and regulations that must be met, and a body of consensus and professional association technical standards and guides that define acceptable methods of conducting activities. The planning and preparations for performing work must include the identification of any and all such requirements that apply to the planned activities, and steps must be taken to achieve compliance or to make timely application, where warranted, for exemption from the requirements. Once work is underway, managers must be vigilant toward changes in requirements, and in active pursuit of better and more efficient methods of maintaining compliance.

1. FEDERAL EMPLOYEE OCCUPATIONAL SAFETY AND HEALTH PROGRAM

CH Manager Responsibilities

Ensure the establishment of a CH FEOSH Program.

Chicago Executive Committee Member Responsibilities

Ensure implementation of the CH FEOSH Program within his/her respective organization.

Technical and Administrative Services Group Manager Responsibilities

Develop a CH FEOSH Program consistent with the requirements of 29 CFR 1960, "Basic Program Elements for Federal Employee Occupational Safety and Health Programs and Related Matters," and DOE O 440.1A, "Worker Protection Management for DOE Federal and Contractor Employees."

2. COMPLIANCE WITH ESTABLISHED CONTROLS

It may be determined on rare occasion that compliance with an established control is not possible, or compliance can be accomplished, but not to the letter of the prescribed control. Terms such as "exemption," "equivalency," "waiver," "variance," and "alternate standard," are frequently used to describe alternate methods of compliance. The use of these terms is found in a number of DOE Orders and federal requirements. You must refer to the applicable Order or requirement to ensure the meaning as it is applied to a particular control. For most worker safety and health-related requirements, "exemption" is the term used to describe the formal approval of not meeting a DOE requirement. DOE M 251.1-1A, describes how exemptions are applied in general for most DOE directives; however, individual Orders may have specific exemption requirements and approval levels that must be followed.

CH Manager Responsibilities

Assign the Technical and Administrative Services Group Manager responsibility for approval of exemptions to, or alternate methods of, compliance with established FEOSH controls. This includes serving as the "Authority Having Jurisdiction" as referenced by the NFPA Standards.

Chicago Executive Committee Member Responsibilities

Identify such instances where compliance with certain FEOSH controls cannot be achieved.

Provide justification to the Technical and Administrative Services Group Manager for approval of exemption to, or alternate methods of, compliance with FEOSH controls.

Technical and Administrative Services Group Manager Responsibilities

Serve as the approval authority for requests for exemption to, or alternate methods of, compliance with FEOSH controls.

D. PERFORM WORK

While the safety of those performing work is ultimately in the hands of the workers themselves. Every aspect of the preparation and planning for work must be performed in a manner which ensures that the worker is supplied by management with all materials, training, equipment, supervision, and technical support necessary to complete the assigned task successfully, safely, and effectively. No activity is to begin unless the hazards and risks associated with that work are recognized and appropriate controls put into place.

1. QUALITY ASSURANCE

CH Manager Responsibilities

Ensure the establishment of a CH Quality Assurance Plan.

Chicago Executive Committee Member Responsibilities

Implement the CH Quality Assurance Plan.

Technical and Administrative Services Group Manager Responsibilities

Develop a CH Quality Assurance Plan.

E. COLLECT FEEDBACK AND PURSUE IMPROVEMENT

The management system should contain processes that continuously improve its operations' effectiveness, safety, and efficiency.

1. GENERATION, COLLECTION AND DISSEMINATION OF INFORMATION

a) Lessons Learned Program

CH Manager Responsibilities

Direct the Technical and Administrative Services Group Manager to develop a process of communicating FEOSH lessons learned to Corporate CH management.

Chicago Executive Committee Member Responsibilities

Distribute FEOSH lessons learned to employees appropriate to the work performed.

Technical and Administrative Services Group Manager Responsibilities

Develop a FEOSH lessons learned program for Corporate CH.

b) DOE Aviation Board of Directors

CH Manager Responsibilities

Recommend to the Secretary of Energy for appointment a CH representative to the DOE Aviation Board of Directors.

Technical and Administrative Services Group Manager Responsibilities

Propose candidates for selection by the Manager to serve as the CH representative on the DOE Aviation Board of Directors in accordance with DOE O 440.2, "Aviation."

c) Employee Concerns Management

CH Manager Responsibilities

Appoints a CH Employee Concerns Program Manager.

Chicago Executive Committee Member Responsibilities

Immediately communicate receipt of all concerns received from staff to the CH Employee Concerns Program Manager.

Take immediate action to suspend workplace conditions and practices that have created an imminent danger situation.

Support the investigation of staff concerns as directed by the CH Employee Concerns Program Manager.

Ensure implementation of corrective actions to resolve concerns.

CH Employee Concerns Program Manager Responsibilities:

Ensure implementation of the CH Employee Concerns Program in accordance with CH Order 5480.29.

This matrix is a summary of the functions, responsibilities, and authorities described in Section IX and X of this manual. GOG O laboratories must accomplish the responsibilities listed in the "Contractor" column in addition to those in the "Line Group Manager" column. The following abbreviations are used in the matrix.

- A** **APPROVE:** responsible for final approval of a document, schedule, change request, exemption request, proposed action, etc.. Authority to approve may be delegated wherever this is not prohibited by regulation. Where delegation to a subordinate occurs, supervision of the exercise of that authority should not include the need for either concurrence or review by the responsible official. In other delegations, the responsible official should perform oversight of the delegated authority's outcomes. Responsibility always remains with the original official, and cannot be delegated.
- C** **CONCUR:** responsible for the review of a document, schedule, proposed action, exemption request, etc., and for recommending approval or rejection to the official having approval authority. Concurrence is an explicit agreement to assume an active role in the success of the proposal.
- D** **DIRECT ACTION:** responsible for issuing direction, exercising shut-down authority, suspending activities, declaring Unresolved Safety Questions, and ensuring documentation.
- G** **GUIDE:** responsible for providing guidance and technical assistance in complying with standards or requirements, or interpreting rules and orders and establishing hazard levels.
- I** **IMPLEMENT:** responsible for compliance with rules, orders or other direction, and for the collection of data and issuance of reports.
- L** **LIAISON:** responsible for coordinating activities among several entities, transmitting information, keeping participating entities abreast of developments, and representing DOE to external organizations.
- M** **MONITOR:** responsible for appraisals, audits, oversight, assessments, monitoring contractor and DOE activities and programs, and assuring implementation of actions and programs.
- P** **PREPARE:** responsible for identifying need for action, preparation of documentation, initiating a standard or guidance document, developing acceptance criteria, issuing a document, and establishing a program and procedures for its implementation.
- R** **REVIEW AND COMMENT:** responsible for the review of proposed actions, documents, etc. against criteria and requirements within the reviewing organization's cognizance, and providing suggestions for improvements. Review and comment is a lateral coordination among offices, and is to be used for the improvement of documentation or the transfer of information. The reviewer has the responsibility to identify any flaw or dysbenefit in the proposed action or draft document, and to inform the originating office.

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Function	CH Mgr.	Line Group Manager	Other	CSO	Contractor
DIRECTION					
DOE Strategic Plans, Including Mission Statements	I	I	A (S-1) I (All Group Mgrs.)	I	-
Program Office Mission Assignment to CH	R, I	R, I	R, I (EPG)	P, A	-
Budget for Program Office	R	R	R (FSG, EPG)	P	-
Resource Allocation to CH	R, I	R, I	R, I (FSG, EPG)	D	-
ES&H Directives					
• Policies	R, L, I	R, I	R, L, I (OPI)	R, I	R, I
• Orders, Manuals, Notices, Guides	R, L, I	R, I	R, L, I (as applicable)	R	R, I
• Technical Standards	R, L, I	R, I	R, L, I (as applicable)	R	R, I
• Nuclear Safety Rules	R, L, I	R, I	R, L, I (as applicable)	R	R, I
• Other Rules	R, L, I	R, I	R, L, I (as applicable)	R	R, I
CH FRAM	R, A	R, I	P (Team)	R	-
Group-level FRAMs	R, A	P, I	-	-	-
Coordination of Direction to Site	R, L, I	R, L, I	-	R, L, G	I
Laboratory's ISMS	R, A	R, C, G, M	R (ISMS Verification Team Leader)		P, I
CH Technical Qualification and Competency	A	R, I	P (OSTQT) R, I (TAS, EPG)	R	-

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Function	CH Mgr.	Line Group Manager	Other	CSO	Contractor
DEFINE SCOPE OF WORK					
Translate Mission into Work					
• CH Mission and Function Statements	A	P	P (Group Mgrs)	-	-
• CH Strategic Plan	P, A	R, I	R, I (Group Mgrs)	-	-
• CH Business Plans	C	P, A, I	P, A, I (Group Mgrs)	-	-
• CH Action Item Tracking System	P	I	I (Group Mgrs)	-	-
• CH Continuous Improvement Plan	A	R	P (CEC)	-	-
• CH Individual Position Descriptions	-	-	P, A (Individual Supervisors)	-	-
• Laboratory Mission Statement, Institutional Plan, Site Development Plan (SDP)	-	R, A, M	-	-	P, I
• ESH&I Management Plan	P, R	P, R, C, M	P, R (STS)	R, A, M	P, I
• EM Five Year Plan	R, C	R, C, M	-	R, A	P, I
• Maintenance Management Plan	R	R, A, M	-	R	P, I
• Pollution Abatement, Groundwater Protection and Waste Minimization Plans	R	R, A, M	R (EH)	-	P, I
• Environmental Monitoring Plan	R	R, A, M	-	-	P, I
• Line Items & GPP (General Plant Projects)	R	R, C, M	-	R, A	P, I
• Accelerator Improvement Projects & Reactor Improvement Projects	R	R, C, M	-	R, A	P, I

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Function	CH Mgr.	Line Group Manager	Other	CSO	Contractor
Set Expectations					
• CH Performance Measures	A	P, I	P(CEC)	-	-
• CH Directives	A	R, C	P(OPI) R,C(as applicable)	-	-
• CH Individual Performance Assessment Plans	-	-	P (Supervisor) C (Employee) I (BOTH)	-	-
• Contract Performance Measures	-	P, A, M	R, C (as applicable)	-	R, C, I
• ES&H Standards & Contract Clauses	-	P, A, M	R, C (LGL)	-	R, A, I
Allocate Resources					
• CH Resource Board	D	I	A (Board)	-	-
• CH Technical Qualification Program	R, A, I	R, A, I	P (OSTQT)	-	-
• CH FIN Plan	I	I	P (HQ-CFO)	-	-
• Contractor FIN Plans	-	A, M	P (FSG)	-	I
• Programmatic Letters	-	P, A, M	-	P, A	I
• Construction Directives/Authorizations	-	R, A, M	-	-	P
Prioritize Tasks					
• CH Management Direction	P	P, I	-	-	-
• CH Training Resource Plan	A	I	P - TAS	-	-

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Function	CH Mgr.	Line Group Manager	Other	CSO	Contractor
ANALYZE HAZARDS					
Identify & Analyze Hazards					
• Nuclear (SARS, Criticality Statements, USQ determinations) CAT 1	R, C	R, C	-	R, A	P
• CAT 2	R, C (NN)	R, C, A (EM, NE)	-	R, A (SO)	P
• CAT 3		R, C, A (EM, NE)	-	-	P
• Radiological	-	R, A	-	-	P
• Accelerators (SADs)		R, C, A*	-	A*	P
• Auditable Safety Analysis (ASA per EM-STD-5502)		R, A			P
• Non-Nuclear					P
• NEPA CX	-	R, A	-	-	P
• EA	R, A	R, C, M	R, C (NCO, LGL)	-	P
• EIS	R, C	P, M	R, C (NCO, LGL)	R, A	I
• Emergency Management Plans	-	R, A, M	R, C (SSS)	-	P, I
• Environmental Permits/Licenses	-	R, C, M	R, A (State/EPA) R, C (LGL)	-	P, I
Categorize Hazards					
• Nuclear & Radiological (Std. 1027)	-	R, C	-	R, A (ER)	P
• Accelerators	R, C	R, C	-	R, A (ER)	P

*SC approves the safety envelope only if the accelerator has the potential for more than minor off-site or negligible impacts to workers, environment, public.

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Function	CH Mgr.	Line Group Manager	Other	CSO	Contractor
DEVELOP/IMPLEMENT CONTROLS					
Identify Standards and Requirements					
• Work Smart Standards	-	P, A	R, C (as applicable)	P, A	P, A, I
• ES&H Order List in Contract	-	P, A	R,C (as applicable)	-	R, C, I
• Rules	-	R, C	-	R, A	P (Imp. Plan), I
• Regulations	-	R	-	-	P (Imp. Plan), I
• Exemption from Order requirements	R, C, A (as applicable)	R	A (EH)	R, C	P
• Radiological Protection Program documents		R, L, A	P, L, A, I (GOGOs) R, C, L (TAS) A (ACQ)	R, A (NE) R (SC, EM, NN)	P, I
• Exemption from Nuclear Safety Rules	R	R	A (EH for 830) R (for 834, 835)	A (for 834, 835) R (for 830)	P
• Exemption from external regulations	R	R	A (appropriate regulator)	R	P
• Exemption from HazMat Transportation Requirements	R, C	R, C	R, C (EH) A (DOT - offsite transportation)	A (EM)	P
• Facility Safety Requirements	-	R, C(Implementation Plan)	-	R, A (Implementation Plan)	P (Implementation Plan), I
Identify Controls to Prevent/Mitigate Hazards					
• Technical Safety Requirements	R, C	R, C, M	-	R, A	P, I
• Cat 1 Nuclear					
• Cat 2 Nuclear	R, C (non-EM)	R, A(EM, NE), M	-	R, A	P, I
• Cat 3 Nuclear	R, A (non-EM)	R, A(EM, NE), M	-	-	P, I
• Contractor HazMat Transportation Safety	-	R, A, M	-	-	P, I

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Function	CH Mgr.	Line Group Manager	Other	CSO	Contractor
Documents					
• Accelerator Safety Envelope	-	R, A	-	-	P, I
• Contractor Integrated Safety Management System	R, A	R, C, G, M	R (as applicable)	R	P, I
• CH Directives	A	R, C	P (OPI) R,C (LGL)	-	-
• Contractor Working Level Procedures	-	M	-	-	P, A, I
• Work Permits	-	M	-	-	P, A, I
• Engineered Features	-	M	-	-	P, A
• Personal Protective Equipment	-	M	-	-	P, A, I
• Aviation Safety	P (Imp. Plan)	A (Operations), M	A (Imp. Plan)	-	M, I
• Administrative Controls	-	M	-	-	P, A, I
• Training	-	R, A, M	-	-	P, I
Authorization Agreements	G, R	P, A	R (STS)		P, C, I

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Function	CH Mgr.	Line Group Manager	Other	CSO	Contractor
PERFORM WORK					
Nuclear Startup/Restart (ORR, ORA)	See App. B	See App. B	See App. B	See App. B	See App. B
Accelerator (ARR)	-	R, A, M	-	-	P, I
Perform Work Safely					
• CH Oversight	-	I	-	-	-
• Contractor Worker Safety		R, C, M			P, I
• FEOSH	P, A, M, I	P, M, I			
• Contractor Nuclear Training	R	R, M		R	P, A, I
Maintenance	-	R, M	-	-	P, A, I
Conduct of Operations	-	R, A, M	-	-	P, I
Quality Assurance					
• Nuclear	R, C	R, C, M	-	R, A	P (830.120 IP/QAPs), I
• Non-nuclear	R, C	R, C, M	-	R, A	P (QAP), I

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Function	CH Mgr.	Line Group Manager	Other	CSO	Contractor
FEEDBACK/ IMPROVEMENT					
Collect Feedback Information					
• ORPs Reports	M	R, C, A, M	-	R, A	P, I
• Lessons Learned	P, R, M	P, R, M			P, R, I
• ES&H Reports	-	P, A (DOE Employees)	-	-	P, A (For site and Contractor/subcontract employees)
• Performance Measures/Metrics		P, A, R, M	-	-	R, C, M, I
• Line Oversight	-	P, I	-	-	-
• Routine Surveillance					
• Management and Functional Appraisals	-	P, I	-	-	-
• Logs, checklists, records	-	M	-	-	I
• Employee Concerns	A	-	P, I (TAS)	M	-
Make Change to Improve					
• Continuous Improvement Plan	-	-	P(CEC), A, I	-	-
Accident Investigations					
• Type A	R	R	A, P (EH)	R	R
• Type B	A, P	R	R (EH)	R	R
Oversight & Enforcement	-	-	P (EH-2)	-	-
• EH-2					
• PAAA actions (nuclear and radiological)	-	R, C (PAAA Coordinator), M	A (EH)	-	P, I
• External (EPA, State, DOT, OSHA{FEOSH}, etc.)	-	-	P (Regulator)	-	-

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Function	CH Mgr.	Line Group Manager	Other	CSO	Contractor
<ul style="list-style-type: none"> DOE-HQ Programmatic oversight of CH 	-	-	P (EH, FM)	P	-
Contractor Performance Assessment					
<ul style="list-style-type: none"> Annual Self-Assessment 		R, C, M	-	-	P, I
<ul style="list-style-type: none"> Contractor's Internal Line Oversight 	-	M	-	-	P, I

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Basis for shutdown		New Facility	DOE CH Directed, Unplanned Shutdown	Extended () Shutdown	Facility Modifications Requiring Modification in Safety Basis	Shutdown caused by Operations Outside Safety Basis (SB)	Other Routine Shutdowns
Hazard Category of Facility							
Hazard Category 1	Approval Authority	♠	Ops Office MGR	(6 months)	♠	♠	Fac. Group MGR
	Review Type	ORR	ORR	ORR	ORR	ORR	RA ♦
Hazard Category 2	Approval Authority	♠	Ops Office MGR *	(12 months)	Ops Office MGR *	Ops Office MGR *	Fac. Group MGR
	Review Type	ORR	ORR	ORR	ORR	ORR	RA ♦
Hazard Category 3	Approval Authority	Facility Group MGR	Ops Office MGR	(♦) Fac. Group MGR	Facility Group MGR	Facility Group MGR	Fac. Group MGR
	Review Type	ORR ♦	ORR	RA ♦	RA ♦	ORR ♦	RA ♦
Other	Approval Authority	Facility Group MGR	Ops Office MGR	(♦) Fac. Group MGR	Facility Group MGR	Facility Group MGR	Fac. Group MGR
	Review Type	RA ♦	ORR**	RA ♦	RA ♦	ORR** ♦	RA ♦

♠ Delegation of approval authority to CH is not anticipated

♦ As specified in Line Management Group Procedures

* Or Designee

** A graded approach should be used for very low hazard facilities. (For example: Non-nuclear facilities where the safety basis consists of the site's ES&H Manual, an ORR may not be appropriate; at chemical facilities, a contractor readiness assessment may be appropriate instead of the ORR depending on the hazards at the facility.)

DOE O 225.1A - Accident Investigation			
Responsibility	Organization	Retained (R) Delegated (D) Shared (S)	Source
Expediently categorize the type of accident in accordance with Attachment 2 to determine if a Type B investigation is required.	Facility Groups, GOGOs, or TAS as applicable	D	DOE O 225.1A 4.a, and 5.c(3)
Mutually resolve uncertainty on categorization through the Office of the Deputy Assistant Secretary for Oversight.	CH Manager	R	DOE O 225.1A Attachment 2, Paragraph 1
Investigate all accidents not meeting the criteria for a Type A or Type B investigation in accordance with the requirements of DOE O 231.1 and DOE O 232.1A.	Facility Groups, GOGOs, or TAS as applicable	D	DOE O 225.1A Attachment 2, Paragraph 1
Request for waiver of any responsibility for conducting a Type B investigation when it is determined that no substantial lessons learned would be gained.	CH Manager	R	DOE O 225.1A 6
Report all accidents categorized as either a Type A or Type B investigations to the Office of the Deputy Assistant Secretary for Oversight (EH-2).	CH Manager	R	DOE O 225.1A 4.a, and 5.c(3)
Determine the existence of applicable MOU with other agencies where those agencies through public law or regulation are assigned responsibility for investigating certain types of accidents.	GL	D	DOE O 225.1A 4.b
Notify local agencies for which the Department has an MOU or which have responsibilities or interests related to the accident investigation.	Facility Groups and GOGO	D	DOE O 225.1A 4.b
Notify the Office of the Deputy Assistant Secretary for Oversight of the need for notification of agencies other than local agencies for which the Department has an MOU or which have responsibilities or interests related to the accident investigation.	CH Manager	R	DOE O 225.1A 4.b
Serve as the Appointing Official for Type B investigations.	CH Manager	R	DOE O 225.1A 4.c(1)(a), and 5.c(4)
Formally appoint a DOE Accident Investigation Board within 3 calendar days of an accident categorization. The formal appointment is to include the scope of the investigation, individuals appointed, any special provisions of the investigation, and a specified completion date for the final report.	CH Manager	R	DOE O 225.1A 4.c(1)(a) and 5.d(1 and 2)

Formally communicate the rationale for delaying appointment of a Type B Accident Investigation Board beyond 3 calendar days to the Assistant Secretary for Environment, Safety and Health.	CH Manager	R	DOE O 225.1A 4.c(1)(a)
Brief the Type Accident Investigation Board on their roles and responsibilities and other pertinent information within 3 calendar days of their appointment.	CH Manager	R	DOE O 225.1A 4.c(1)(a) and 5.d(3)
Ensure affected DOE and contractor line organizations have had an opportunity to review the "facts" section of the draft report for accuracy and provide comment to the Accident Investigation Board.	Accident Investigation Board Chairperson	D	DOE O 225.1A 4.d(1)
Sign and date a statement to be included in the final report accepting the investigation report, including the conclusions and judgements of need.	CH Manager	R	DOE O 225.1A 4.d(2) and 5.d(4)
Conduct a briefing of Headquarters and field line management, as well as the Assistant Secretary for Environment, Safety and Health for Type A investigations, on the outcome of the investigation.	CH Manager and Accident Investigation Board Chairperson	S	DOE O 225.1A 4.d(3)
Publish and distribute the final report within 7 calendar days of acceptance of the report. One copy each is to be provided to the affected Secretarial Officer(s) and other appropriate Headquarters program office(s). One copy provided to the Assistant Secretary for Environment, Safety and Health. One copy and an electronic version provided to the Office of the Deputy Assistant Secretary for Oversight. Copies as necessary to senior managers of organization identified in the judgements of need.	TAS	D	DOE O225.1A 4.d(4) and 5.d(5)
Request that those organizations identified in the judgements of need submit corrective action plans within 30 calendar days from acceptance of the report.	Facility Groups, GOGOs, or TAS as applicable	D	DOE O225.1A 4.d(4)
Submit corrective action plans to the responsible secretarial office(s) for approval, and to the Office of the Deputy Assistant Secretary for Oversight for review within 30 days calendars of acceptance of the report.	TAS	D	DOE O 225.1A 5.c(12)(a, b, and c)
Ensure corrective action plans are completed, and corrective actions implemented to satisfy the judgements of need.	Facility Groups, GOGOs, or TAS as applicable	D	DOE O 225.1A 4.d(6) and 5.c(12)(d)

Provide semiannually (January and July) status reports on corrective actions to the Office of the Deputy Assistant Secretary for Oversight.	TAS	D	DOE O 225.1A 5.c(13)
Develop and disseminate lessons learned from the accident investigation DOE-wide within 90 days of acceptance of the report.	TAS	D	DOE O 225.1A 4.d(5), 5.c(10), and 5.d(6)
Determine whether adequate protection can most effectively be achieved by continuing to operate under the terms of existing contracts requiring compliance with old Orders or by modifying the contract to incorporate the requirements of revised Orders, and that implementation of new rule or Order requirements will provide adequate protection prior to requesting contract modifications that delete old Order requirements from contracts.	Facility Groups and ACQ	D	DOE O 225.1A 5.c(1)
Incorporate the DOE O 225.1A into contracts and ensure implementation.	Facility Groups	D	DOE O 225.1A 5.c(2)
Appoint a single point of contact to act as liaison with the Office of the Deputy Assistant Secretary for Oversight on matters pertaining to the DOE Accident Investigation Program.	TAS	D	DOE O 225.1A 5.c(2)
Ensure establishment of accident investigation capability by trained contractor readiness teams, including providing training required to assure readiness to assist DOE accident investigations.	Facility Groups	D	DOE O 225.1A 5.c(5)
Ensure contractor readiness teams and emergency management personnel coordinate or integrate their activities to facilitate an orderly transition of responsibilities for the accident scene.	Facility Groups	D	DOE O 225.1A 5.c(6)
Cooperate and assist DOE Accident Investigation Boards	All	S	DOE O 225.1A 5.c(7)
Ensure sufficient numbers of trained Accident Investigation Board Chairpersons and Accident Investigators.	TAS	D	DOE O 225.1A 5.c(8)
Provide CH personnel trained as Accident Investigation Board Chairpersons and Accident Investigators to other DOE sites upon request.	CH Manager	R	DOE O 225.1A 5.c(8)
Review draft accident investigation reports for factual accuracy within the time frame allowed for the investigation.	Facility Groups, GOGOs, or TAS as applicable	D	DOE O 225.1A 5.c(9)

DOE O 231.1 - Environment, Safety and Health Reporting			
Responsibility	Organization	Retained (R) Delegated (D) Shared (S)	Source
Ensure submittal of reports listed under "Responsibilities" in accordance with DOE M 231.1-1.	Facility Groups, GOGOs, and TAS as applicable	D	DOE O 231.1 4
Develop local procedures, protocols, and other methods to meet reporting requirements.	Facility Groups, GOGOs, and TAS as applicable	D	DOE O 231.1 4
Submit an integrated Annual Environmental Report for the CY to the Assistant Secretary for Environment, Safety and Health.	TAS	D	DOE M 231.1-1 Chapter I, 1.a
Report annually on the progress in implementing and the effectiveness of, any mitigation essential to render the impacts of a proposed action not significant or that is made in a record of decision to the Office of NEPA Policy and Assistance.	TAS	D	DOE M 231.1-1 Chapter I, 2.a
Submit an annual NEPA planning summary to the Assistant Secretary for Environment, Safety and Health, and make the report available to the public.	TAS	D	DOE M 231.1-1 Chapter I, 2.b
Ensure the recordkeeping and reporting requirements for work-related fatalities, injuries, and illnesses occurring among DOE employees as contained in 29 CFR 1960, and guidance provided in the latest edition of Department of Labor publication, OSHA 2014.	GOGOs and TAS as applicable	D	DOE M 231.1-1 Chapter II, 2.a(1 and 2)
Ensure contractors record in accordance with 29 CFR 1904.2 through 1904.5, 1904.11, 1904.12, 1904.14, and 1904.21, work-related fatalities, injuries, and illnesses occurring among their employees arising out of work primarily performed at DOE-owned or -leased facilities, and guidance provided in the latest edition of Department of Labor publication, OSHA 2014.	Facility Groups	D	DOE M 231.1-1 Chapter II, 2.b(1 and 2)
Record and report estimated loss or damage to DOE property or other property amounting to \$5,000 or more, or estimated costs of \$5,000 or more for cleaning (including decontamination), renovation, replacing, rehabilitating structures, equipment, or property.	GOGOs and TAS as applicable	D	DOE M 231.1-1 Chapter II, 2.c(1 and 4)

Ensure contractor records and reports estimated loss or damage to DOE property or other property amounting to \$5,000 or more, or estimated costs of \$5,000 or more for cleaning (including decontamination), renovation, replacing, rehabilitating structures, equipment, or property.	Facility Groups	D	DOE M 231.1-1 Chapter II, 2.c(1 and 4)
Record and report estimated damage of \$1,000 or more that involves Federal Government-owned, -rented, or -leased vehicles or privately owned vehicles operated while on official business by CH employees.	GOGOs and TAS as applicable	D	DOE M 231.1-1 Chapter II, 2.c(2, 3, and 4)
Ensure contractor record and report estimated damage of \$1,000 or more that involves Federal Government-owned, -rented, or -leased vehicles or privately owned vehicles operated while on official business.	Facility Groups	D	DOE M 231.1-1 Chapter II, 2.c(2, 3, and 4)
Submit new and revised copies of DOE F 5484.3, "Individual Accident/Incident Report," for CH to CAIRS no later than the 25 th of the month following the close of each CY quarter.	GOGOs and TAS as applicable	D	DOE M 231.1-1 Chapter II, 2.e(1, 2, and 3)
Ensure contractor submits new and revised copies of DOE F 5484.3, "Individual Accident/Incident Report," to CAIRS no later than the 25 th of the month following the close of each CY quarter.	Facility Groups	D	DOE M 231.1-1 Chapter II, 2.e(1, 2, and 3)
Submit DOE F 5484.4, "Tabulation of Work Hours, Vehicle Usage, and Property Valuation," for CH to CAIRS no later than the 25 th of the month following the close of each CY quarter.	GOGOs and TAS as applicable	D	DOE M 231.1-1 Chapter II, 2.f(1, 2, and 3)
Ensure contractor submittal of DOE F 5484.4, "Tabulation of Work Hours, Vehicle Usage, and Property Valuation," to CAIRS no later than the 25 th of the month following the close of each CY quarter.	Facility Groups	D	DOE M 231.1-1 Chapter II, 2.f(1, 2, and 3)
Submit an annual estimate of property valuation report to the Assistant Secretary for Environment, Safety and Health.	TAS	D	DOE M 231.1-1 Chapter II, 2.g
Ensure the reporting of DOE F 5484.4, "Tabulation of Work-Hours, Vehicle Usage, and Property Valuation," for subcontracts with more than \$10,000 in estimated cost, and that subcontractors report all OSHA recordable injuries and illnesses through use of DOE F 5484.3, "Individual Accident/Incident Report," regardless of contract cost.	Facility Groups	D	DOE M 231.1-1 Chapter II, 2.d
Retain CH injury, illness, property, and vehicle damage files in accordance with DOE O 1324.5B.	GOGOs and TAS as applicable	D	DOE M 231.1-1 Chapter II, 2.i(1)
Ensure contractor retains injury, illness, property, and vehicle damage files in accordance with DOE O 1324.5B.	Facility Groups	D	DOE M 231.1-1 Chapter II, 2.i(1)
Ensure contractor assumes OSH responsibility for maintaining accident records of previous operating contractor	Facility Groups	D	DOE M 231.1-1 Chapter II, 2.i(2)
Provide access to injury and illness records by DOE and contractor	GL	D	DOE M 231.1-1

employees, former employees, and/or their representatives.			Chapter II, 2.i(3)(a)
Ensure access to injury and illness records provided by 29 CFR 1904 to any DOE representative for the purpose of conducting oversight assessments or for statistical compilation.	Facility Groups	D	DOE M 231.1-1 Chapter II, 2.i(3)(b)
Provide access to injury and illness records provided by 29 CFR 1960 to the Secretary of Labor, Secretary of Health and Human Services, and/or their authorized representative.	GOGOs and TAS as applicable	D	DOE M 231.1-1 Chapter II, 2.i(3)(d)
Submit an annual summary of fire damage to the Assistant Secretary for Environment, Safety and Health.	TAS	D	DOE M 231.1-1 Chapter II, 3
Report suspected excesses of illness or injuries that require epidemiological analyses to the Assistant Secretary for Environment, Safety and Health.	CH Manager	R	DOE M 231.1-1 Chapter II, 4.a
Ensure access to Centers for Disease Control officials, State health officials, their contractors, and workers, to information and data needed to conduct epidemiological research, dose reconstructions, and related studies on communities potentially impacted by off-site releases.	CH Manager	R	DOE M 231.1-1 Chapter II, 5.b
Ensure contractor is reporting performance indicator data on the CY quarter to the Assistant Secretary for Environment, Safety and Health.	Facility Groups	D	DOE M 231.1-1 Chapter II, 6.a
Ensure that radiological exposure data pertaining to a DOE employee, a contractor supporting DOE Headquarters or CH, a DNFSB employee or contractor, or an IAEA inspector visiting a CH GOGO or contractor site or facility to conduct Department-related business is reported to the Radiation Records Repository within 30 days after determination of the dosimetry results. The data shall be provided to the individual at the same time.	Facility Groups and GOGOs	D	DOE M 231.1-1 Chapter III, 1.a, and 4.a
Ensure that radiological exposure data pertaining to a visit by a DOE contractor employee is reported to the individual's employer within 30 days after determination of the dosimetry results.	Facility Groups and GOGOs	D	DOE M 231.1-1 Chapter III, 1.b
Ensure that radiological exposure data pertaining to a visit by a DOE or DOE contractor employee in an official capacity to a radiological site outside the DOE is reported to the individual's employer within 30 days after determination of the dosimetry results.	Facility Groups, GOGOs, and TAS as applicable	D	DOE M 231.1-1 Chapter III, 1.c
Ensure that procedures exist and are effective in support of visits by a DOE employee in an official capacity to a radiological site outside the DOE.	GOGOs	D	DOE M 231.1-1 Chapter III, 1.d
Ensure that procedures exist and are effective in support of visits by a DOE contractor employee in an official capacity to a radiological site outside the DOE.	Facility Groups	D	DOE M 231.1-1 Chapter III, 1.d

Submit annual radiological exposure data report to the Radiation Records Repository for each individual monitored for radiological exposure during the preceding calendar year.	GOGOs	D	DOE M 231.1-1 Chapter III, 2
Ensure the contractor submits an annual radiological exposure data report to the Radiation Records Repository for each individual monitored for radiological exposure during the preceding calendar year.	Facility Groups	D	DOE M 231.1-1 Chapter III, 2
Provide a radiological exposure report to a member of the public visiting the site or facility within 90 days of the end date of that visit.	GOGOs	D	DOE M 231.1-1 Chapter III, 4.b
Ensure that a radiological exposure report is provided to a member of the public visiting the contractor site or facility within 90 days of the end date of that visit.	Facility Groups	D	DOE M 231.1-1 Chapter III, 4.b
DOE O 232.1A - Occurrence Reporting and Processing Operations Information			
Responsibility	Organization	Retained (R) Delegated (D) Shared (S)	Source
Ensure that the requirements are applied to applicable contracts within 3 months after approval of this Order.	Facility Groups	D	DOE 232.1A Section 5.d DOE M 232.1A Section 4.4.4.e and f
Concurs on Facility Management Groups, NBL, and EML procedures and subsequent changes on ORPS implementation	CH Manager	R	CH O 232.1 Section 4.1.a(1)

Ensure that agreements are established between SC and CH on the working relationship for the purpose of carrying out the requirements of this Manual.	CH Manager	R	DOE M 232.1A Section 4.4.4.a CH O 232.1 Section 4.1.a(2)
Ensure that the requirements are applied to applicable contracts within 3 months after approval of this Order.	Facility Groups	D	DOE 232.1A Section 5.d DOE M 232.1A Section 4.4.4.e and f
Concurs on Facility Management Groups, NBL, and EML procedures and subsequent changes on ORPS implementation	CH Manager	R	CH O 232.1 Section 4.1.a(1)
Ensure that agreements are established between SC and CH on the working relationship for the purpose of carrying out the requirements of this Manual.	CH Manager	R	DOE M 232.1A Section 4.4.4.a CH O 232.1 Section 4.1.a(2)
Ensure technical support is provided to ORPS Facility Representatives, as necessary.	Facility Groups	D	DOE O 232.1A Section 5.d DOE M 232.1A Section 4.4.4.c CH O 232.1 Section b.4(9)
DOE P 410.1A - Developing Nuclear Safety Requirements		Retained (R) Delegated (D) Shared (S)	
Responsibility	Organization		Source
Implements, as appropriate, the DOE procedural framework for promulgating nuclear safety requirements of general applicability.	CH Manager	R	DOE P 410.1A
Ensures compliance with procedures established by, (which includes the Administrative Procedures Act, The DOE Organization Act, the NEPA Act, and the Atomic Energy Act) as the field office participates in the development of nuclear safety requirements.	CH Manager	R	DOE P 410.1A
Participate, as appropriate, in the use of the notice and comment rulemaking process as the Department promulgates new nuclear safety requirements.	CH Manager Facility Groups STS Legal	S S S S	DOE P 410.1A

Cooperate, as appropriate, in the timely completion of rulemakings which the Department undertakes.	CH Manager Facility Groups STS Legal	S S S S	DOE P 410.1A
DOE P 411.1 - Safety Management, Functions, Responsibilities, and Authorities Policy			
Responsibility	Organization	Retained (R) Delegated (D) Shared (S)	Source
DOE P 411.1 page 2: "Each line, support, oversight, and enforcement organization within the Department is responsible for establishing and documenting how the specific functions and responsibilities assigned to them in the Manual [DOE M 411.1] are properly discharged."	CH Manager, Facility Groups, and GOGOs	R/D/S	DOE P 411.1
<i>Comment regarding above responsibility: The CH FRAM [CH M 411.1] accomplishes the above requirement/responsibility for the CH Manager. The CH FRAM further assigns the responsibility for doing this at the line-group level to the Facility Group Managers by requiring each Facility Group to develop a Group-specific FRAM. The CH FRAM also assigns the responsibility for doing this at the GOGO Laboratory level by requiring EML and NBL to develop and implement an ISMS Description.</i>			
DOE P 411.1 page 2: "Separate organizational and operating documents will be prepared by each organization to define how its functions are to be carried out and identify who has the responsibility and authority to do so."	CH Manager, Facility Groups, and GOGOs	R/D/S	DOE P 411.1
<i>Comment regarding above responsibility: At the CH-level, this is accomplished by developing CH directives (i.e., CH Orders, Manuals, Guides). At the Group level, procedures and manuals are in place. However it is not known at the CH-level whether each Group within CH has all of the necessary procedures in place to address their various ISM and ESH related functions. Recent ISMS Verifications indicate that many ISM and ESH related functions are not appropriately covered by CH directives and/or Group-level procedures/manuals.</i>			
DOE P 411.1 page 2: "Each Department organization responsible for a defined safety management function must communicate those functions and the associated responsibilities to their employees so that they are clearly understood."	CH Manager, Facility Groups, and GOGOs	R/D/S	DOE P 411.1
<i>Comment regarding above responsibility: This applies to the CH Manager as well as the Facility Group Managers and GOGO Directors. Communication of functions and associated responsibilities is accomplished in the short-term through verbal direction and training classes, and in the long-term by institutionalizing it in local directives, procedures, and manuals.</i>			

DOE O 414.1A - Quality Assurance		Retained (R) Delegated (D) Shared (S)	
Responsibility	Organization		Source
Develop, approve, and implement a Quality Assurance Program governing the work of the field office.	CH Manager	R	DOE O 414.1A Section 5.e (1)
Identify the senior management position specifically assigned this responsibility.	CH Manager	R	DOE O 414.1A Section 5.e(1)
Review and approve new and revised QAPs for contractors	Facility Groups	D	DOE O 414.1A Section 5.e(2) CH O 411.1
Perform independent assessments of contractor organizations.	Facility Groups	D	DOE O 414.1A Section 5.e.(3) CH O 411.1
Perform management and independent assessments to evaluate the adequacy and implementation of CH QAP.	CH Manager	R	DOE O 414.1A Section 5.e.(4)
Perform independent assessments of corrective actions taken for safety issues identified by the Office of Oversight to verify effective implementation	CH Manager	R	DOE O 414.1A Section 5.e.(4)
Prepare a Corrective Action Plan to address safety issues (i.e. quality problems) identified by the Office of Oversight.	CH Manager	R	DOE O 414.1A Section 5.e.(5)
DOE O 420.1 - Facility Safety		Retained (R) Delegated (D) Shared (S)	
Responsibility	Organization		Source
DOE Elements and contractors shall develop, implement and maintain an acceptable fire protection program that includes:			
A policy statement that incorporates the requirements of this Section, related DOE directives, and other applicable Federal, state and local fire protection requirements. The statement shall affirm management's commitment to support a level of fire protection and fire suppression capability sufficient to minimize losses from fire and related hazards consistent with the best class of protected property in private industry.	Facility Groups	D	DOE O 420.1 Chg 2 (4.2.1) CH M 411.1-1, VI.A.
Comprehensive, written fire protection criteria that reflect additional site-specific aspects of the fire protection program, including the organization, training and responsibilities of the fire protection staff, administrative aspects of the fire protection program, and requirements for the design, installation, operability, inspection, maintenance and testing of fire protection systems.	Facility Groups	D	DOE O 420.1 Chg 2 (4.2.1) CH M 411.1-1, VI.A.

Written fire safety procedures governing the use and storage of combustible, flammable, radioactive, and hazardous materials so as to minimize the risk from fire. Such procedures shall also exist for fire protection system impairments and for activities such as smoking, hot work, safe operation of process equipment, and other fire prevention measures, which contribute to the decrease in fire risk.	Facility Groups	D	DOE O 420.1 Chg 2 (4.2.1) CH M 411.1-1, VI.A.
A system to ensure that the requirements of the DOE fire protection program are documented and incorporated in the plans and specifications for all new facilities and for significant modifications of existing facilities. This includes a documented review by a qualified fire protection engineer of plans, specifications, procedures, and acceptance tests.	Facility Groups	D	DOE O 420.1 Chg 2 (4.2.1) CH M 411.1-1, VI.A.
Fire hazards analyses (FHA) for all nuclear facilities, significant new facilities and facilities that represent unique or significant fire safety risks. The FHA shall be developed using a graded approach. The conclusions of the FHA shall be incorporated in the Safety Analysis Report (SAR) Accident Analysis and shall be integrated into design basis and beyond design basis accident conditions.	Facility Groups	D	DOE O 420.1 Chg 2 (4.2.1) CH M 411.1-1, VI.A.
Access to a qualified and trained fire protection staff, including a fire protection engineer(s), technicians and fire fighting personnel to implement the requirements of this Section.	Facility Groups	D	DOE O 420.1 Chg 2 (4.2.1) CH M 411.1-1, VI.A.
A "baseline" needs assessment that establishes the minimum required capabilities of site fire fighting forces. This includes minimum staffing, apparatus, facilities, equipment, training, fire pre-plans, off-site assistance requirements, and procedures. Information from this assessment shall be incorporated into the site Emergency Plan.	Facility Groups	D	DOE O 420.1 Chg 2 (4.2.1) CH M 411.1-1, VI.A.
Written pre-fire strategies, plans, and standard operating procedures to enhance the effectiveness of site fire fighting forces, where provided. Such procedures include those governing the use of fire fighting water or other neutron moderating materials to suppress fire within or adjacent to moderation controlled areas. Restrictions on the use of water shall be fully justified on the basis of criticality safety.	Facility Groups	D	DOE O 420.1 Chg 2 (4.2.1) CH M 411.1-1, VI.A.
A comprehensive, documented fire protection self-assessment program, which includes all aspects (program and facility) of the fire protection program. Assessments shall be performed on a regular basis at a frequency established by DOE.	Facility Groups	D	DOE O 420.1 Chg 2 (4.2.1) CH M 411.1-1, VI.A.

A program to identify, prioritize and monitor the status of fire protection-related appraisal findings/recommendations until final resolution is achieved. When final resolution will be significantly delayed, appropriate interim compensatory measures shall be implemented to minimize the fire risk.	Facility Groups	D	DOE O 420.1 Chg 2 (4.2.1) CH M 411.1-1, VI.A.
A process for reviewing and recommending approval of fire safety "equivalencies" and "exemptions" to the DOE Authority Having Jurisdiction for fire safety.	Facility Groups	D	DOE O 420.1 Chg 2 (4.2.1) CH M 411.1-1, VI.A.
DOE Elements and contractors shall develop, implement and maintain a comprehensive fire protection program for facilities that includes:			
A reliable water supply of adequate capacity for fire suppression.	Facility Groups	D	DOE O 420.1 Chg 2 (4.2.2) CH M 411.1-1, VI.A.
Noncombustible or fire-resistive construction, where appropriate. Complete fire-rated barriers that are commensurate with the fire hazard to isolate hazardous occupancies and to minimize fire spread and loss potential consistent with defined limits as established by DOE.	Facility Groups	D	DOE O 420.1 Chg 2 (4.2.2) CH M 411.1-1, VI.A.
Automatic fire extinguishing systems throughout all significant facilities and in all areas subject to loss of safety class systems, significant life safety hazards, unacceptable program interruption, or fire loss potential in excess of defined limits.	Facility Groups	D	DOE O 420.1 Chg 2 (4.2.2) CH M 411.1-1, VI.A.
Redundant fire protection systems in areas where safety class systems are vulnerable to fire damage and where no redundant safety capability exists outside of the fire area. In new facilities, redundant safety class systems shall be in separate fire areas. Redundant fire protection systems shall also be provided in areas where the maximum possible fire loss (MPFL) exceeds limits established by DOE.	Facility Groups	D	DOE O 420.1 Chg 2 (4.2.2) CH M 411.1-1, VI.A.
A means to summon the fire department in the event of a fire, such as a fire alarm signaling system	Facility Groups	D	DOE O 420.1 Chg 2 (4.2.2) CH M 411.1-1, VI.A.
A means to notify and evacuate building occupants in the event of a fire, such as a fire detection or fire alarm system and illuminated protected egress paths.	Facility Groups	D	DOE O 420.1 Chg 2 (4.2.2) CH M 411.1-1, VI.A.
Physical access and appropriate equipment to facilitate effective intervention by the fire department, such as an interior standpipe system(s) in multi-story or large facilities with complex configurations.	Facility Groups	D	DOE O 420.1 Chg 2 (4.2.2) CH M 411.1-1, VI.A.

A means to prevent the accidental release of significant quantities of contaminated products of combustion and fire fighting water to the environment, such as ventilation control and filter systems and curbs and dikes. Such features would only be necessary if required by the FHA or SAR in conjunction with other facility or site environmental protection measures.	Facility Groups	D	DOE O 420.1 Chg 2 (4.2.2) CH M 411.1-1, VI.A.
Fire and related hazards that are unique to DOE and are not addressed by industry codes and standards shall be protected by isolation, segregation or use of special fire control systems, such as inert gas or explosion suppression, as determined by the FHA.	Facility Groups	D	DOE O 420.1 Chg 2 (4.2.2) CH M 411.1-1, VI.A.
Fire protection systems shall be designed such that their inadvertent operation, inactivation or failure of structural stability will not result in the loss of vital safety functions or inoperability of safety class systems as determined by the SAR.	Facility Groups	D	DOE O 420.1 Chg 2 (4.2.2)
DOE Elements shall ensure that a contractor responsible for a DOE non-reactor nuclear facility shall establish a nuclear criticality safety program that (i) applies to fissionable materials that are produced, processed, stored, transferred, disposed, or otherwise handled, and (ii) includes the following elements in paragraphs 4.3.2 (General Requirements) and 4.3.3 (Specific Requirements).			
<p><i>Heads of Field Organizations:</i> As directed by the CSO, shall ensure that the requirements falling within the scope of this Order are in compliance with this Order.</p> <p>Field Elements are responsible for determining whether adequate protection can most effectively be achieved by continuing to operate under the terms of existing contracts requiring compliance with old Orders or by modifying the contract to incorporate the requirements of revised. Field Elements are responsible for determining that implementation of new rule or Order requirements will provide adequate protection prior to requesting contract modification to drop old Order requirements from contract.</p>	Facility Groups	D	DOE O 420.1 Chg 2 (5.d) LM per CH M 411.1-1
<i>Heads of DOE Elements:</i> Heads of DOE elements shall ensure that initiators of procurement requests shall identify in procurement requests if the requirements in the Contractor Requirements Document for this Order are to be applied to the award or sub-awards resulting from the procurement request.	Facility Groups	D	DOE O 420.1 Chg 2 (5.e) LM per CH M 411.1-1

<i>Contractor Organizations:</i> As directed by the CSO or the Heads of Field Organizations and as directed by the Contracting Officer, contractors including subcontractors) shall develop, implement, and maintain the policies, objectives, and requirements of the CRD of this Order	Facility Groups	D	DOE O 420.1 Chg 2 (5.f) CH M 411.1-1, VI.A.
DOE O 420.2 - Safety of Accelerator Facilities		Retained (R) Delegated (D) Shared (S)	
Responsibility	Organization		Source
Approve the commencement of commissioning activities for an accelerator facility or module thereof that does not have potential for more than minor on-site or more than negligible off-site impacts to workers, the public, or the environment after (a) approving a specific ASE upon finding that it will appropriately bound commissioning activities; (b) finding that an appropriate ARR was conducted; and (c) finding that the risks as analyzed in the SAD are acceptable when commissioning activities are conducted within the specified ASE.	CH Manager	R	DOE O 420.2 5.b(1)

Approve the commencement of routine operation activities for an accelerator facility or module thereof that does not have potential for more than minor on-site or more than negligible off-site impacts to workers, the public, or the environment after (a) approving the ASE upon finding that it will appropriately bound routine operation activities; (b) finding that an appropriate ARR was conducted; and (c) finding that the risks as analyzed in the SAD are acceptable when routine operation activities are conducted within the specified ASE.	CH Manager	R	DOE O 420.2 5.b(2)
After performing the duties in Paragraph 5b(1)(b) and 5b(1)(c), recommend DOE cognizant Secretarial Officer approval for commencement of commissioning activities for an accelerator facility or module thereof that has the potential for more than minor on-site or more than negligible off-site impacts to workers, the public, or the environment.	CH Manager	R	DOE O 420.2 5.b(3)
After performing the duties in Paragraph 5b(2)(b) and 5b(2)(c), recommend DOE cognizant Secretarial Officer approval for commencement of initial routine operation activities for an accelerator facility or module thereof that has the potential for more than minor on-site or more than negligible off-site impacts to workers, the public, or the environment.	CH Manager	R	DOE O 420.2 5.b(4)
Approve recommencement of an activity at an accelerator facility after Shutdown ordered by a DOE Field Element manager because of an Unreviewed Safety Issue, violation of an ASE, or other safety concern.	CH Manager	R	DOE O 420.2 5.b(5)
Approve exemptions from requirements of this Order for an accelerator facility or module thereof that does not have the potential for more than minor on-site or more than negligible off-site impacts to workers, the public, or the environment.	CH Manager	R	DOE O 420.2 5.b(6)

DOE O 425.1A - Startup and Restart of Nuclear Facilities			
Responsibility	Organization	Retained (R) Delegated (D) Shared (S)	Source
For facility shutdowns due to operations outside the safety basis, the official approving restart shall be commensurate with the approval authority for the safety basis. If the safety basis was approved by a Headquarters official, the cognizant Secretarial Officer (or designee) shall approve restart. If the safety basis was approved by a field official, the Operations Office Manager (or designee) shall approve restart.	Facility Groups	D	DOE O 425.1A, 4.a (3)(e) Manager's Memo
For startups or restarts of nuclear facilities for which Operational Readiness Reviews were required as a result of a DOE official deeming it appropriate, the official approving startup or restart shall be of a level commensurate with the official directing the review. If a Headquarters official directed an Operational Readiness Review be performed, the cognizant Secretarial Officer (or designee) shall approve the startup or restart. If a field official directed an Operational Readiness Review, the Operations Office Manager (or designee) shall approve the startup or restart.	Facility Groups	D	DOE O 425.1A, 4.a (3)(f) Manager's Memo
Approval for readiness Assessments. The startup or restart authority, the Operations Office Manager or designee, may approve startup or restart after pre-start findings are corrected.	Facility Groups	D	DOE O 425.1A, 4.c. (3) Manager's Memo
Establish procedures (and ensure contractors establish procedures) as necessary to manage startup and restart actions in accordance with the requirements of this Order.	Facility Groups	D	DOE O 425.1A, 5.a (1) Manager's Memo
Exercise the delegation authority and document all delegations of authority made under the provisions granted by this Order.	CH Manager	R	DOE O 425.1A, 5.a (2)

Determine whether adequate protection can most effectively be achieved by continuing to operate under the terms of existing contracts requiring compliance with old Orders or by modifying the contract to incorporate the requirements of revised Orders.	Facility Groups	D	DOE OP 425.1A, 5.a (31) Manager's Memo
Determine that implementation of new rule or Order requirements will provide adequate protection prior to requesting contract modification to drop old Order requirements from contract.	Facility Groups	D	DOE OP 425.1A, 5.a (41) Manager's Memo
Ensure that initiators of procurement requests shall identify in procurement requests if the requirements in the Contractor Requirements Document are to be applied to the award or sub-awards resulting from the procurement request.	Facility Groups	D	DOE OP 425.1A, 5.b Manager's Memo
DOE O 435.1 - Radioactive Waste Management		Retained (R) Delegated (D) Shared (S)	
Responsibility	Organization		Source
Developing, documenting, implementing, and maintaining a Site-Wide Radioactive Waste Management Program. The Program shall use a systematic approach for planning, executing, and evaluating the site-wide management of radioactive waste in a manner that supports the Complex-Wide Radioactive Waste Management Programs and ensures that the requirements of DOE O 435.1, Radioactive Waste Management, and this Manual are met.	Facility Groups	D	DOE M 435.1-1 I, 2.F(1)
Ensuring a radioactive waste management basis is developed and maintained for each DOE radioactive waste management facility, operation, and activity; and ensuring review and approval of the basis before operations begin.	Facility Groups	D	DOE M 435.1-1 I, 2.F(2)
Ensuring implementation of waste minimization and pollution prevention programs.	Facility Groups	D	DOE M 435.1-1 I, 2.F(3)
DOE radioactive waste shall be treated, stored, and in the case of low-level waste, disposed of at the site where the waste is generated, if practical; or at another DOE facility. If DOE capabilities are not practical or cost effective, exemptions may be approved to allow use of non-DOE facilities for the storage, treatment, or disposal of DOE radioactive waste.	CH Manager	R	DOE M 435.1-1 I, 2.F(4)

Ensuring the management and disposal of radioactive waste resulting from environmental restoration activities, including decommissioning, meet the substantive requirements of DOE O 435.1, Radioactive Waste Management, and this Manual. Environmental restoration activities using the CERCLA process (in accordance with Executive Order 12580) may demonstrate compliance with the substantive requirements of DOE O 435.1, Radioactive Waste Management, and this Manual (including the Performance Assessment and performance objectives, as well as the Composite Analysis) through the CERCLA process. However, compliance with all substantive requirements of DOE O 435.1 not met through the CERCLA process must be demonstrated. Environmental restoration activities which will result in the off-site management and disposal of radioactive waste must meet the applicable requirements of DOE O 435.1, Radioactive Waste Management, and this Manual for the management and disposal of those off-site wastes.	Facility Groups	D	DOE M 435.1-1 I, 2.F(5)
Ensuring development, review, approval, and implementation of the radioactive waste acceptance requirements for facilities that receive waste for storage, treatment, or disposal. Radioactive waste acceptance requirements shall establish the facility's requirements for the receipt, evaluation, and acceptance of waste.	Facility Groups	D	DOE M 435.1-1 I, 2.F(6)
Ensuring development, review, approval, and implementation of a program for waste restoration planning, characterization, certification, and transfer. This program shall address characterization of waste, preparation of waste for transfer, certification that waste meets the receiving facility's radioactive waste acceptance requirements, and transfer of waste.	Facility Groups	D	DOE M 435.1-1 I, 2.F(7)
Ensuring development, review, approval, and implementation of closure plans for radioactive waste management facilities in accordance with the applicable requirements in the waste-type chapters of this Manual.	Facility Groups	D	DOE M 435.1-1 I, 2.F(8)

Ensuring defense-in-depth principles are incorporated where potential uncertainties or vulnerabilities warrant their use when reviewing and approving radioactive waste management activities and documents. These principles advocate the use of multiple levels of engineered and administrative controls to provide protection to the public, workers, and the environment.	Facility Groups	D	DOE M 435.1-1 I, 2.F(9)
Ensuring oversight of radioactive waste management facilities, operations, and activities is conducted. Oversight shall ensure radioactive waste management program activities are conducted in accordance with a radioactive waste management basis and meet the requirements of DOE O 435.1, Radioactive Waste Management, and this Manual.	Facility Groups	D	DOE M 435.1-1 I, 2.F(10)
Ensuring a training and qualification program is implemented for designated radioactive waste management program personnel, and the training is commensurate with job duties and responsibilities. Only those personnel who have been trained and qualified shall design or operate safety (safety class and safety significant) structures, systems, and components.	Facility Groups	D	DOE M 435.1-1 I, 2.F(11)
Ensuring ALARA principles for radiation protection are incorporated when reviewing and approving radioactive waste management activities.	Facility Groups	D	DOE M 435.1-1 I, 2.F(12)
Ensuring all radioactive waste is stored in a manner that protects the public, workers, and the environment in accordance with a radioactive waste management basis, and that the integrity of waste storage is maintained for the expected time of storage and does not compromise meeting the disposal performance objectives for protection of the public and environment when the waste is disposed.	Facility Groups	D	DOE M 435.1-1 I, 2.F(13)
Ensuring all radioactive waste requiring treatment is treated in a manner that protects the public, workers, and the environment and in accordance with a radioactive waste management basis.	Facility Groups	D	DOE M 435.1-1 I, 2.F(14)
Ensuring monitoring is conducted for all radioactive waste management facilities as required. Ensuring that disposal facilities are monitored, as appropriate, for compliance with conditions of the disposal authorization statement.	Facility Groups	D	DOE M 435.1-1 I, 2.F(16)

Ensuring, to the extent practical, radioactive material and waste generated under a program that is classified for national security reasons is declassified or rendered suitable for unclassified radioactive waste management.	SSD Director	D	DOE M 435.1-1 I, 2.F(17)
Ensuring a process is developed and implemented for identifying the generation of radioactive waste with no identified path to disposal, and reviewing and approving conditions under which radioactive waste with no identified path to disposal may be generated. Headquarters shall be notified of the decisions to generate a waste with no identified path to disposal.	EPG Manager	D	DOE M 435.1-1 I, 2.F(19)
Ensuring a process exists for proposing, reviewing, approving, and implementing corrective actions when necessary to ensure that the requirements of DOE O 435.1, Radioactive Waste Management, and this Manual are met, and to address conditions that are not protective of the public, workers, or the environment. The process shall allow workers, through the appropriate level of management, to stop or curtail work when they discover conditions that pose an imminent danger or other serious hazard to workers or the public, or are not protective of the environment.	Facility Groups	D	DOE M 435.1-1 I, 2.F(20)
Low-level waste that has an identified path to disposal shall not be stored longer than one year prior to disposal, except for storage for decay, or as otherwise authorized by the Field Element Manager.	Facility Groups	D	DOE M 435.1-1 IV, N(2)
Staging of low-level waste shall be for the purpose of the accumulation of such quantities of waste as necessary to facilitate transportation, treatment, and disposal. Staging longer than 90 days shall meet the requirements for storage above and in Chapter I of this Manual.	Facility Groups	D	DOE M 435.1-1 IV, N(7)
DOE O 440.1A - Worker Protection Management for DOE and Federal Contractor Employees		Retained (R) Delegated (D) Shared (S)	
Responsibility	Organization		Source
Implement a written Worker Protection Program for Federal employees consistent with the requirements identified by the Order.	Facility Groups, GOGOs and TAS	D	DOE O 440.1A 4.a. - m., and Attachment 1
Ensure through contracting officers that contractors are implementing effective worker protection programs.	Facility Groups and ACQ	D	DOE O 440.1A 5.b.(1)
Review contractor worker protection program budgets and provide recommendations to the funding official on the appropriateness of the	Facility Groups	D	DOE O 440.1A 5.b.(2)

budget request.			
Provide contractors with technical direction on the criteria for the development of contractor goals, objectives, and performance measures.	Facility Groups and ACQ	D	DOE O 440.1A 5.b.(3)
Hold DOE line personnel accountable for providing technical direction to contractors that is consistent with the requirements contained in this Order.	CH Manager	R	DOE O 440.1A 5.b.(4)
Evaluate the need for and direct the development of formal written agreements between contractor organizations to outline respective roles, responsibilities, and authorities of each organization as they relate to compliance with DOE worker protection requirements and resolution of cross-cutting worker protection-related issues.	Facility Groups and ACQ	D	DOE O 440.1A 5.b.(5)
Review and forward to Headquarters all exemptions, exceptions, and variances to mandatory worker protection requirements.	CH Manager	R	DOE O 440.1A 5.b.(6)
Review the status of all exemptions to requirements of Order at least annually.	Facility Groups and ACQ	D	DOE O 440.1A 5.b.(6)
Ensure that unannounced worker protection inspections of contractor workplaces are conducted at least annually.	Facility Groups and ACQ	D	DOE O 440.1A 5.c.(1)
Ensure immediate and effective remedial actions are taken for resolution of imminent danger situations.	Facility Groups, GOGOs, and ACG	D	DOE O 440.1A 5.c.(2)
Determine whether adequate protection can most effectively be achieved by continuing to operate under the terms of existing contracts requiring compliance with old Orders or by modifying the contract to incorporate the CRD requirements.	Facility Groups and ACQ	D	DOE O 440.1A 5.c.(3)
Ensure that initiators of procurement requests specify therein whether requirements in the CRD are to be applied to the resulting award or sub-award.	Facility Groups and ACQ	D	DOE O 440.1A 5.c.(4)
Ensure contractors comply with worker protection requirements identified by the Order or otherwise identified in procurement requests.	Facility Groups and ACQ	D	DOE O 440.1A 5.f., and Attachment 2

DOE O 440.2 - Aviation Safety		Retained (R) Delegated (D) Shared (S)	Source
Responsibility	Organization		
Ensure contractor and subcontractor aircraft in service to CH are operated in accordance with the applicable parts of 14 CFR and/or equivalent international or military standards appropriate to the operation and type of aircraft in services. (see the CH Implementation Plan for DOE O 440.2)	Facility Groups, GOGOs, and TAS as applicable	D	DOE O 440.2 4.a.
Ensure that contractor and subcontractor requirements are established for: training programs for personnel involved with aviation operations, flight and duty time limitations, personnel qualifications, aircraft maintenance requirements, and flight-following procedures. (see the CH Implementation Plan for DOE O 440.2)	Facility Groups, GOGOs, and TAS as applicable	D	DOE O 440.2 4.a.(1, 2, 3, and 4)
Submit an implementation plan for complying with the Order to the DOE Senior Aviation Management Official within 180 days of issuance of the Order. (see the CH Implementation Plan for DOE O 440.2)	TAS	D	DOE O 440.2 4.b.
Submit amendments or changes to the DOE Senior Aviation Management Official for approval. (see the CH Implementation Plan for DOE O 440.2)	TAS	D	DOE O 440.2 4.b.(1)
Establish policies and procedures to ensure safe and effective aviation operations involving unmanned aircraft operating outside the scope of 14 CFR. (see the CH Implementation Plan for DOE O 440.2)	TAS	D	DOE O 440.2 4.c.
Ensure the development of aviation safety documentation for each mission that has risks not normally accepted by the public (14 CFR). (see the CH Implementation Plan for DOE O 440.2)	Facility Groups, GOGOs, and TAS as applicable	D	DOE O 440.2 4.d.
Ensure that charter and lease aircraft are evaluated in accordance with the CH implementation plan requirements prior to flight activities. (see the CH Implementation Plan for DOE O 440.2)	Facility Groups, GOGOs, and TAS as applicable	D	DOE O 440.2 4.e.
Ensure the effectiveness of contractor and subcontractor aviation operations, airworthiness, and safety programs. (see the CH Implementation Plan for DOE O 440.2)	Facility Groups, GOGOs, and TAS as applicable	D	DOE O 440.2 5.e.(2)

DOE P 441.1 - DOE Radiological Health and Safety Policy			
Responsibility	Organization	Retained (R) Delegated (D) Shared (S)	Source
Standards are established for the technical competency of the Department's workforce performing radiological work activities through implementation of radiological training and professional development programs.	CH Manager Facility Groups	S	DOE P 441.1 para B
Qualification requirements are established for technical competence of personnel responsible for implementing and overseeing the radiological control program.	CH Manager	R	DOE P 441.1 para C
Establish and maintain, at all levels, line management involvement and accountability for departmental radiological performance.	CH Manager Facility Groups	S	DOE P 441.1 para D
Ensure radiological measurements, analyses, worker monitoring results and estimates of public exposures are accurate and appropriately made.	Facility Groups	D	DOE P 441.1 para E
Radiological operations are always conducted in accordance with the principles of ALARA.	Facility Groups	D	DOE P 441.1 para F
Incorporate the principles of ALARA and dose reduction, contamination reduction, and waste minimization features into the design of new facilities and significant modifications to existing facilities in the earliest planning stages using consensus recommendations or standards of national and international standards setting groups.	Facility Groups	D	DOE P 441.1 para G
Conduct oversight to ensure departmental requirements are being complied with and appropriate radiological work practices are being implemented.	CH Manager Facility Groups	S	DOE P 441.1 para H
DOE P 450.1 - ES&H Policy for the Department of Energy Complex			
Responsibility	Organization	Retained (R) Delegated (D) Shared (S)	Source
Daily excellence in the protection of the worker, the public, and the environment.	All	S	DOE P 450.1
Personal commitment, mutual trust, open communication, continuous improvement and full involvement of all interested parties in all activities.	All	S	DOE P 450.1

DOE P 450.2A - Identifying, Implementing and Complying with ES&H Requirements			
Responsibility	Organization	Retained (R) Delegated (D) Shared (S)	Source
Approve, disapprove, or provide a conditional approval within 90 days of the contractor's proposed contractual modifications to utilize revised ES&H Orders.	Facility Groups	R	DOE P450.2A
Prior to changing a contract to substitute the requirements in a revised Order for requirements in one or more canceled ES&H Orders, confirm that the revised contract requirements will continue to ensure adequate protection of workers, the public and the environment	Facility Groups	R	DOE P450.2A
DOE P 450.3 - Authorizing Use of the Necessary and Sufficient Process for Standards-based ES&H			
Responsibility	Organization	Retained (R) Delegated (D) Shared (S)	Source
Authorization to use the "Closure Process for Necessary and Sufficient Sets of Standards".	Facility Groups	D	DOE P450.3
DOE M 450.3-1 - DOE Closure Process for Necessary and Sufficient Sets of Standards Necessary and Sufficient (N&S) Process			
Responsibility	Organization	Retained (R) Delegated (D) Shared (S)	Source
The Agreement Parties will initiate the N&S Process if one or more of the following criteria is satisfied: A set of standards does not exist, as in the case of a new activity. An existing set of standards is no longer appropriate due to change in mission, regulatory environment, degree of hazards, performance expectation, or knowledge. The applicable contract requires that the Process be used. A Stakeholder demonstrates to the satisfaction of the Agreement Parties that the existing set of standards is either not necessary or not sufficient to provide adequate protection. Evidence provided should be based on the set of standards, not on the way the standards are implemented.	Facility Groups	D	DOE M450.3-1 I, 2.a

<p>The Agreement Parties shall: Designate a Process Leader who will be responsible for conducting the Process. Designate individuals within their respective organization to serve as members of the Convened Group. Identify Resource Authorities and any other Federal officials to be approached for participation as members of the Convened Group. Identify interested Stakeholders to be approached to provide input to the Convened Group.</p>	Facility Groups	D	DOE M450.3-1 I, 2.b
<p>The Convened Group shall be selected from the lowest level of management responsible for allocating resources and managing work affected by the N&S set of standards.</p>	Facility Groups	D	DOE M450.3-1 I.2.c
<p>Process Leader shall convene the first meeting of the Convened Group. The Convened Group will decide protocols for its ongoing meetings and identify individuals who have agreed to act as the Approval Authority for approving the N&S set of standards and authorizing work to the set.</p>	Facility Groups	D	DOE M450.3-1 I, 2.d
<p>The Process Leader shall: Acquire relevant information on the work to be performed from the members of the Convened Group. Organize information received from the Convened Group as an initial basis for identifying the N&S set of standards. If necessary, re-evaluate the work definition on the basis of feedback obtained during the Process.</p>	Facility Groups	D	DOE M450.3-1 II, 2.c(1)
<p>The Convened Group shall: Establish appropriate channels of communication with Stakeholders. Provide Stakeholders with information concerning process activities. Obtain Stakeholder views as input to the Process. Provide information on initial conditions. Endorse the initial definition of the work, hazards, and performance expectations compiled by the Process Leader.</p>	Facility Groups	D	DOE M450.3-1 II, 2.c(2)
<p>Convened Group will define the specifications for the identification and confirmation team(s) that will be formed; and arrange for individuals to be assigned to the team(s), consistent with the membership criteria. Individuals assigned to the team(s) must be able to participate fully in all team meetings and team decision making.</p>	Facility Groups	D	DOE M450.3-1 II, 3.c(1)
<p>The Convened Group will establish protocols and agreements and establish documentation requirements.</p>	Facility Groups	D	DOE M450.3-1 II, 4.c(1)
<p>Process Leader with participation of team members will establish team protocols, as necessary.</p>	Facility Groups	D	DOE M450.3-1 II, 4.c(2)

Team members will provide qualifications information to the Convened Group and must conduct the Process in accordance with the protocols and documentation requirements.	Facility Groups	D	DOE M450.3-1 II, 4.c(3)
<p>The Identification Team shall:</p> <p>Identify any additional information needed to define the work.</p> <p>Evaluate relevant sources of existing international, national, State, local, and work-specific standards including laws, regulations, orders and procedures.</p> <p>Identify which standards constitute an N&S set, including those standards that are legally required and other standards that are necessary to provide adequate protection of workers, the public, and the environment. The set must be feasible for implementation.</p> <p>If needed, request additional resources, such as additional Technical or Operational Experts.</p> <p>Reach consensus on and justify the N&S set of standards.</p> <p>Identify any implementation assumptions and interfaces used by the team.</p> <p>Identify those applicable Federal, State, and local laws and regulations that must be included in the N&S set of standards, but are judged not to add value to the achievement of adequate protection, and provide a justification for the team's view that can be used as the basis for pursuing exemption from these requirements.</p> <p>If it is not possible to identify a N&S set to meet the current performance expectations and objectives, recommend revisions to the work definition, development of new standards, or both, that would allow a N&S set of standards to be identified.</p> <p>Document the N&S set of standards, justification for set, implementation assumptions and interfaces, and a justification to support an exemption from regulatory requirements that are judged by the team not to add value to the achievement of adequate protection.</p>	Facility Groups	D	DOE M450.3-1 II, 5.b
<p>The Confirmation Team shall:</p> <p>Review the documentation produced by the Identification Team and any other documentation required for confirmation.</p> <p>Determine whether the proposed set of standards is adequate and feasible. Document the confirmation activities and their results.</p>	Facility Groups	D	DOE M450.3-1 II, 6.b

The Approval Authority shall: Establish the adequacy of the N&S set of standards by determining whether the Process has been correctly implemented and has been documented in conformance with the protocols established by the Convened Group; the Identification Team has endorsed and justified the set of standards as necessary and sufficient to provide adequate protection when implemented; and, the Confirmation Team has confirmed the adequacy and feasibility of the set of standards Approve or disapprove the set of standards for use in performing the defined work, within any time limitations established by the Convened Group. Inform the Convened Group of the approval or disapproval.	Facility Groups	D	DOE M450.3-1 II, 7.c
Ensure that the N&S set of standards and associated implementation assumptions become part of the operating basis for all activities covered by the set and perform any agreed upon actions approved with the set.	Facility Groups	D	DOE M450.3-1 III, 1 and 2
DOE P 450.4 - Safety Management System Policy		Retained (R) Delegated (D) Shared (S)	
Responsibility	Organization		Source
Safety Management Systems shall be used to systematically integrate safety into management and work practices at all levels so that missions are accomplished while protecting the public, the worker and the environment.	ALL	S	DOE P 450.4
The objective, guiding principles, and core functions of safety management shall be used consistently in implementing safety management through the DOE complex.	ALL	S	DOE P 450.4
DOE P 450.5 - Line Environment, Safety and Health Oversight		Retained (R) Delegated (D) Shared (S)	
Responsibility	Organization		Source
It is the Department's policy to conduct ES&H line oversight in a cost-effective, coordinated, integrated, and efficient manner that is seamless to contractors.	ALL	S	DOE P 450.5
Both DOE and contractor line managers must acquire and maintain sufficient knowledge of program activities in order to make informed decisions on safety resources for these activities.	ALL	S	DOE P 450.5
The Department's line managers fulfill their responsibilities in part through line management oversight and have unfettered access to information and facilities in a manner consistent with safety and security requirements.	ALL	S	DOE P 450.5

The Department's line organizations have the following common principles: Work together to develop ES&H performance objectives, measures, and expectations, tied to Departmental Strategic goals and objectives, as well as top performance goals and objectives of the Safety Management Systems elements. Mutual agreement is reached on expected ES&H performance. Work together to develop contract performance measures and performance indicators that are linked to the DOE Safety Management System. Work together to develop a high level of performance assurance which results in improved ES&H performance.	ALL	S	DOE P 450.5
Each field element has a designated focal point for coordinating oversight activities, including for cause review.	ALL	S	DOE P 450.5
DOE P 450.6 - Secretarial Policy Statement Environment, Safety and Health		Retained (R) Delegated (D) Shared (S)	
Responsibility	Organization		Source
All managers and workers must accept as their responsibility a concerted and sustained effort to achieve Integrated Safety Management at the Department of Energy.	ALL	S	DOE P 450.6
Management must also be committed to a work environment that allows free and open expression of safety concerns, and where workers fear no reprisals or retaliation.	ALL	S	DOE P 450.6
A goal of 'zero tolerance' for serious accidents that result in life-threatening injuries or major environmental contamination. Should such an event occur, the appropriate Principal Secretarial Officer will meet promptly and personally with us to thoroughly review causes of the event, corrective action plans and the effectiveness of Integrated Safety Management at the site.	All	S	DOE P 450.6
DOE O 452.1A - Nuclear Explosive and Weapon Surety Program		Retained (R) Delegated (D) Shared (S)	
Responsibility	Organization		Source
Implement the provisions of this and related Orders.	CH Manager	R	DOE O 452.1A 5.f(1)
Ensure that DOE NEWS Program responsibilities, as appropriate, are assigned to Operations Office organizations, laboratories, contractors, and subcontractors.	CH Manager	R	DOE O 452.1A 5.f(2)

Ensure that management and staff have full access and free communication with the Operations Office manager on NEWS matters.	CH Manager	R	DOE O 452.1A 5.f(3)
Develop and publish field directives to implement this and related Orders.	CH Manager	R	DOE O 452.1A 5.f(4)
Conduct operational aspects of the DOE NEWS Program for onsite transportation activities.	CH Manager	R	DOE O 452.1A 5.f(5)
Ensure surety of nuclear explosives during nuclear explosive operations.	CH Manager	R	DOE O 452.1A 5.f(6)
Develop, implement, and maintain an Operations Office QA program in accordance with DOE 5700.6C, and approve contractor QA program and implementation plans that shall include nuclear explosive operations in accordance with the requirements of DOE O 452.2A.	CH Manager	R	DOE O 452.1A 5.f(7)
Conduct appraisals of Area Offices and contractors to evaluate implementation of the DOE NEWS Program.	CH Manager	R	DOE O 452.1A 5.f(8)
Certify that all nuclear explosive surety standards are met.	CH Manager	R	DOE O 452.1A 5.f(9)

DOE O 452.2A - Safety of Nuclear Explosives Operations			
Responsibility	Organization	Retained (R) Delegated (D) Shared (S)	Source
Ensure that responsibilities and authorities are clearly defined and delegated at appropriate management and supervisory levels.	CH Manager	R	DOE O 452.2A 5.d(1)
Authorize nuclear explosive operations in accordance with the requirements of this Order.	CH Manager	R	DOE O 452.2A 5.d(2)
Approve HARs.	CH Manager	R	DOE O 452.2A 5.d(3)
Integrate ES&H requirements into nuclear explosive operations and associated activities while maintaining appropriate focus on nuclear explosive safety.	CH Manager	R	DOE O 452.2A 5.d(4)
Approve NES Survey Reports.	CH Manager	R	DOE O 452.2A 5.d(5)
Designate PAP certifying officials.	CH Manager	R	DOE O 452.2A 5.d(6)
Approve exemptions to the requirements of this Order in accordance with the provisions of 4i.	CH Manager	R	DOE O 452.2A 5.d(7)
DOE O 460.1A - Packaging and Transportation Safety			
Responsibility	Organization	Retained (R) Delegated (D) Shared (S)	Source
Implement order requirements and ensure contractor implementation and compliance.	Facility Groups	D	DOE O 460.1A, 5.c, (1) Manager's Memo
Review and approve contractor onsite Transportation Safety documents.	Facility Groups	D	DOE O 460.1A, 5.c.(2) Manager's Memo
Review and process exemption and NRC certificate requests.	CH Manager	R	DOE O 460.1A, 5.c.(3)
Review and process SARPs and DOE certificate of compliance requests.	CH Manager	R	DOE O 460.1A, 5.c.(4)
Ensure Contractor Requirements Document of order is incorporated in contracts.	CH Manager	R	DOE O 460.1A, 5.c.(5) Manager's Memo

Support development of programs to share packaging and transportation safety successes and problems.	Facility Groups	D	DOE O 460.1A, 5.c.(6) Manager's Memo
Obtain waivers from tribal, State and local laws and regulations, as needed to meet transportation safety requirements.	Facility Groups	D	DOE O 460.1A, 5.c.(7) Manager's Memo
DOE O 5480.19 - Conduct of Operations		Retained (R) Delegated (D) Shared (S)	
Responsibility	Organization		Source
Ensure that adequate contractor plans, procedures, and programs are in place and assess the effectiveness of their implementation at sites under their jurisdiction.	Facility Groups	D	DOE O 5480.19 6(e)1
Ensure that DOE Facility Representatives are assigned responsibility for a major facility or group of lesser facilities, and oversee the day-to-day conduct of operations at these facilities in accordance with the requirements of this Order and the directions received from the Program Manager; and	Facility Groups and TAS	S	DOE O 5480.19 6(e)2
Approve documentation prepared by the contractor to demonstrate conformance to the guidelines in Attachment 1.	Facility Groups	D	DOE O 5480.19 6(e)3
DOE O 5480.20A - Personnel Selection, Qualification, and Training Requirements for DOE Nuclear Facilities		Retained (R) Delegated (D) Shared (S)	
Responsibility	Organization		Source
Identify and submit resource requests to the cognizant Secretarial Officer to provide for adequate implementation of personnel qualification programs.	Facility Groups	D	DOE O 5480.20A 7.a (1) Manager's Memo
Perform periodic systematic evaluations of training and qualification programs using DOE-STD-1070-94 and provide day-to-day oversight of nuclear facility personnel training and qualification activities.	Facility Groups	D	DOE O 5480.20A 7.a (2) Manager's Memo
Review and approve each Training Implementation Matrix for nuclear facilities.	Facility Groups	D	DOE O 5480.20A 7.a (3) Manager's Memo
Assure that Operations Office staffing includes an adequate number of persons having expertise in the area of personnel training.	CH Manager Facility Groups	S S	DOE O 5480.20A 7.a (4) Manager's Memo
Assure that DOE contractors to whom this Order is applicable, implement the requirements of this Order.	Facility Groups	D	DOE O 5480.20A 7.a (5) Manager's Memo

Review the certification and recertification of shift supervisors, senior reactor operators, reactor operators, and fissionable material handlers at Category A reactors and high-hazard non-reactor nuclear facilities.	Facility Groups	D	DOE O 5480.20A 7.a (6) Manager's Memo
Approve contractor procedures which are established to grant exceptions to specific training or qualification requirements for an individual.	Facility Groups	D	DOE O 5480.20A 7.a (7) Manager's Memo
Approve, on a case by case basis, contractor requests for certification extensions.	Facility Groups	D	DOE O 5480.20A 7.a (8) Manager's Memo
Approve contractor assessments of the need for a simulator at Category A test and research reactors.	Facility Groups	D	DOE O 5480.20A 7.a (9)
DOE O 5480.21 - Unreviewed Safety Questions		Retained (R) Delegated (D) Shared (S)	
Responsibility	Organization		Source
Heads of Field Organizations, for facilities and operations under their jurisdiction shall perform the following functions:			
Ensure that adequate contractor procedures are in place and assess the effectiveness of their implementation, consistent with the provisions of this Order;	Facility Groups	D	DOE O 5480.21 9.e(1) CH M 411-1.1
Approve documentation prepared by the contractor demonstrating compliance with this Order;	Facility Groups	D	DOE O 5480.21 9.e(2) CH M 411-1.1
Actively monitor the USQ identification, review, and decision-making process of contractors under their cognizance to determine whether an incident, analysis, or proposed change/modification to systems, components, processes, operations, tests, or experiments involves a USQ; and	Facility Groups	D	DOE O 5480.21 9.e(3) CH M 411-1.1
Declare the existence of a USQ, when discovered, and direct the contractor to curtail or suspend operations, tests, experiments, or actions to implement the proposed changes/modifications pending resolution of the USQ concern, or take other actions as appropriate to reduce the risk.	Facility Groups	D	DOE O 5480.21 9.e(4) CH M 411-1.1
Assure that DOE contractors to whom this Order is made applicable implement the requirements of paragraph 10 of this Order.	Facility Groups	D	DOE O 5480.21 9.e(5) CH M 411-1.1

Designate an individual(s) to be responsible for bringing to the attention of the contracting officer each procurement falling within the scope of this Order. Unless another individual is designated, the responsibility is that of the procurement request originator (the individual responsible for initiating a requirement on DOE F 4200.33 "Procurement Request Authorization").	Facility Groups	D	DOE O 5480.21 9.e(6) CH M 411-1.1
(a) Procurement request originators (the individuals responsible for initiating a requirement on DOE F 4200.33) or such other individual(s) as designated by the cognizant heads of field organizations shall bring to the attention of the cognizant contracting officer the following: (1) each procurement requiring the application of this Order, (2) requirements for flow-down of provisions of this Order to any subcontract or sub-award, and (3) identification of the paragraphs or other portions of this Order with which the awardee, or, if different, a sub-awardee, is to comply.			
(b) Contracting officers, based on advice received from the procurement request originator or other designated individual, shall apply applicable provisions of this Order to awards falling within its scope. For awards, other than management and operating contracts, this shall be by incorporation or reference using explicit language in a contractual action, usually bilateral. All paragraphs of this Order shall be applied to contractors excluding paragraph 9.			
DOE O 5480.22 - Technical Safety Questions		Retained (R) Delegated (D) Shared (S)	
Responsibility	Organization		Source
Heads of Field Offices shall carry out responsibilities that include, but are not limited to, the following:			
Review all new Technical Safety Requirements and revisions to Technical Safety Requirements submitted by contractors under their cognizance and take review responsibilities as directed by the cognizant PSO.	Facility Groups	D	DOE O 5480.22 8.b(1) CH M 411-1.1
Take such action as may be appropriate, including curtailment and suspension of operations, when, in their opinion, such operations may result in an undue risk to health, safety, or the environment.	Facility Groups	D	DOE O 5480.22 8.b(2) CH M 411-1.1

Provide the PSO (with a copy to NS-1 and EH-1) appropriate safety documentation (e.g., Implementation Schedules, Technical Safety Requirements, and Technical Safety Requirements Change Requests) to permit those organizations to meet responsibilities as outlined in this Order as directed by the PSO.	Facility Groups	D	DOE O 5480.22 8.b(3) CH M 411-1.1
Assure that applicable DOE contractors implement the requirements of this Order and provide advisory services to DOE contractors on matters involving policies, standards, codes, guides, and procedures which relate to the requirements of this Order as directed by the PSO.	Facility Groups	D	DOE O 5480.22 8.b(4) CH M 411-1.1
Designate an individual(s) to be responsible for bringing to the attention of the contracting officer each procurement falling within the scope of this Order. Unless another individual is designated, the responsibility is that of the procurement request originator (the individual responsible for initiating a requirement on DOE F 4200.33). (a) Procurement request originators (the individuals responsible for initiating a requirement on DOE F 4200.33) or such other individuals(s) as designated by the cognizant heads of field organizations shall bring to the attention of the cognizant contracting officer the following: (1) each procurement requiring the application of this Order, (2) requirements for flow-down of provisions of this Order to any subcontract or sub-award, and (3) identification of the paragraphs or other portions of this Order with which the awardee, or, if different, a sub-awardee, is to comply. (b) Contracting officers based on advice received from the procurement request originator or other designated individual shall apply applicable provisions of this Order to awards falling within its scope. For awards, other than management and operating contracts, this shall be by incorporation or reference using explicit language in a contractual action, usually bilateral. All paragraphs of this Order shall be applied to contractors excluding paragraph 7.	Facility Groups	D	DOE O 5480.22 8.b(5) CH M 411-1.1
DOE O 5480.23 - Nuclear Safety Analysis Reports		Retained (R) Delegated (D) Shared (S)	
Responsibility	Organization		Source
DOE Field Office Managers or Field Program Managers shall:			
Review and make recommendations to the PSO relative to the adequacy of all new SARs, as well as all revisions to existing SARs.	CH Manager	R	DOE O 5480.23 7.c(1) CH M 411-1.1

Oversee contractor preparation and review of safety analyses, including nuclear criticality, hazard classification, safety evaluations and changes thereto consistent with this Order and other DOE Orders.	Facility Groups	D	DOE O 5480.23 7.c(2) CH M 411-1.1
Keep appropriate Headquarters program organizations, the Director, Office of Nuclear Safety, and the Field and Area Offices advised of nuclear safety problems, deficiencies, and needs of actions taken under this Order.	Facility Groups	D	DOE O 5480.23 7.c(3) CH M 411-1.1
Designate an individual(s) to be responsible for bringing to the attention of the contracting officer each procurement falling within the scope of this Order. Unless another individual is designated, the responsibility is that of the procurement request originator (the individual responsible for initiating a requirement on DOE F 4200.33).	Facility Groups	D	DOE O 5480.23 7.c(4) CH M 411-1.1
Procurement request originators (the individuals responsible for initiating a requirement on DOE F 4200.33) or such other individuals(s) as designated by the cognizant PSO shall bring to the attention of the cognizant contracting officer the following: (1) each procurement requiring the application of this Order, (2) requirements for flow-down of provisions of this Order to any sub-contract or sub-award, and (3) identification of the paragraphs or other portions of this Directive with which the awardee, or, if different, a sub-awardee, is to comply.	Facility Groups	D	DOE O 5480.23 7.c(4)(a) CH M 411-1.1
Contracting officers, based on advice received from the procurement request originator or other designated individual, shall apply applicable provisions of this Order to awards falling within its scope. For awards, other than management and operating contracts, this shall be by incorporation or reference using explicit language in a contractual action, usually bilateral. All paragraphs of this Order shall be applied to contractors excluding Paragraph 7.	Facility Groups	D	DOE O 5480.23 7.c(4)(b) CH M 411-1.1

DOE O 5480.30 - Nuclear Reactor Safety Design Criteria		Retained (R) Delegated (D) Shared (S)	Source
Responsibility	Organization		
DOE Field Office Managers or Field Program Managers shall:			
Review, and make recommendations to the PSO relative to the approval of, all safety analyses and evaluations of the design basis.	CH Manager	R	DOE O 5480.30 7.d(1) CH M 411-1.1
Oversee contractor/operator preparation and review of safety analyses and evaluations of design features including establishing pertinent design criteria as directed by the PSO.	Facility Groups	D	DOE O 5480.30 7.d(2) CH M 411-1.1
Conduct appraisals to assure contractor compliance with this Order.	Facility Groups	D	DOE O 5480.30 7.d(3) CH M 411-1.1
Keep appropriate Headquarters program organizations, the Director, Office of Nuclear Safety (NS-1), the Assistant Secretary for Environment, Safety and Health (EH-1), and the field and area offices advised of safety issues, deficiencies, needs and actions taken under this Order.	Facility Groups	D	DOE O 5480.30 7.d(4) CH M 411-1.1
Heads of Headquarters Elements and heads of field organizations (the senior ranking DOE official at a DOE office location) shall include in a procurement request package, for each procurement requiring the application of this Directive, the following:			
Identification of the Directive.	Facility Groups	D	DOE O 5480.30 7.d(5)(a) CH M 411-1.1
Identification of the specific requirements with which a contractor or other awardee is to comply, or, if this is not practicable, identification of the specific paragraphs or other portions of this Directive with which a contractor or other awardee is to comply.	Facility Groups	D	DOE O 5480.30 7.d(5)(b) CH M 411-1.1
Requirements for the flow-down of provisions of this Directive to any subcontract or sub-award. For application to awarded management and operating contracts, Heads of Headquarters Elements and heads of field organizations may set forth this information in a written communication to the contracting officer rather than in a procurement request package.	Facility Groups	D	DOE O 5480.30 7.d(5)(c) CH M 411-1.1

ACRONYMS

AA	Authorization Agreement
CFR	Code of Federal Regulations
CEC	Chicago Executive Committee
CH	Chicago Operations Office
CSO	Cognizant Secretarial Officer
DEAR	Department of Energy Acquisition Regulations
DOE	Department of Energy
EH	Assistant Secretary for Environment, Safety and Health
EM	Assistant Secretary for Environmental Restoration and Waste Management
ES&H	Environment, Safety and Health
ER	Office of Energy Research
FEM	Field Element Manager
FEOSH	Federal Employee Occupational Safety and Health Program
FRAM	Functions, Responsibilities and Authorities Manual
GOCO	Government Owned, Contractor Operated
GOGO	Government Owned, Government Operated
HQ	Department of Energy Headquarters
IPRT	Implementation Plan Review Team
ISMS	Integrated Safety Management System
ISMSV	Integrated Safety Management System Verification
LGL	Chief Counsel, Legal Services Group
LPSO	Lead Program Secretarial Officer
M	Manual
NE	Office of Nuclear Energy
NN	Office of Nonproliferation and National Security
O	Order
OPI	Office of Primary Interest
ORPS	Occurrence Report Processing System
OSH	Occupational Safety and Health
OSTQT	Operational Surveillance and Technical Qualification Team
RISG	Rule Implementation Steering Group
RIWG	Rule Implementation Working Group
STD	Standard
TAS	Assistant Manager for Technical and Administrative Services
TQP	Technical Qualification Program

Attachment 3 - Chicago Operations Office Quality Assurance Plan

The Chicago Operations Office establishes functions for assuring the quality of its Environment, Safety and Health (ES&H) activities in the CH FRAM and ES&H-related CH directives. We have incorporated the necessary quality principles contained in DOE O 414.1A into our FRAM, which performs a dual function as the CH Quality Assurance Plan (QAP) for ES&H activities. We have not issued a separate QAP to avoid potential conflict and confusion between it and the CH FRAM. We have attached the following table as a guide to lead the reader to places within the CH FRAM and other CH and DOE documents where QA principles are found. This table is not exhaustive nor necessarily complete, it is intended only as a guide.

DOE O 414.1A Requirement	CH 411.1-B Implementation	Other Implementation
Criterion 1 Program.		
<ul style="list-style-type: none"> A written QAP must be developed, implemented, and maintained. 	QA requirements are factored into CH 411.1B which then functions as the CH QAP for ES&H related activities	
<ul style="list-style-type: none"> The QAP must describe the organizational structure, functional responsibilities, levels of authority, and interfaces for those managing, performing, and assessing the work. 	This is the basic purpose of the CH FRAM.	
<ul style="list-style-type: none"> The QAP must describe management processes, including planning, scheduling, and resource considerations. 	Management functions related to ES&H, including those for planning, scheduling, and resource considerations are described in the CH FRAM.	CH Business Plans CH Strategic Plan
Criterion 2 Personnel Training and Qualification.		
<ul style="list-style-type: none"> Personnel must be trained and qualified to ensure they are capable of performing their assigned work. 	IX.A IX.F	CH O 360.1 CH M 360.1-1 CH O 440.1A CH M 440.1A-1
<ul style="list-style-type: none"> Personnel must be provided continuing training to ensure that job proficiency is maintained. 	IX.A	CH O 360.1 CH M 360.1-1 CH O 440.1A CH M 440.1A-1
Criterion 3 Quality Improvement.		
<ul style="list-style-type: none"> Processes to detect and prevent quality problems must be established and implemented. 	IX.C XI.E	Employee Concerns Program Employee Concerns Program

<ul style="list-style-type: none"> Items, services, and processes that do not meet established requirements must be identified, controlled, and corrected according to the importance of the problem and the work affected 	IX.B	
<ul style="list-style-type: none"> Correction must include identifying the causes of problems and working to prevent recurrence. 	IX.B XI.E	CH 0 232.1A CH Issues Management Manual
<ul style="list-style-type: none"> Item characteristics, process implementation, and other quality-related information must be reviewed and the data analyzed to identify items, services, and processes needing improvement. 	IX.F IX.B	
Criterion 4 Documents and Records.		
<ul style="list-style-type: none"> Documents must be prepared, reviewed, approved, issued, used, and revised to prescribe processes, specify requirements, or establish design. 	IX.A XI.A	CH M 251.1-1 CH N 450.4
<ul style="list-style-type: none"> Records must be specified, prepared, reviewed, approved, and maintained. 		General Records Schedule DOE Records Schedule
Criterion 5 Work Processes.		
<ul style="list-style-type: none"> Work must be performed to established technical standards and administrative controls using approved instructions, procedures, or other appropriate means. 	IX.B X.B XI.B	Group Level Documents
<ul style="list-style-type: none"> Items must be identified and controlled to ensure their proper use. 	This is not applicable to corporate CH functions.	
<ul style="list-style-type: none"> Items must be maintained to prevent their damage, loss, or deterioration. 	This is not applicable to corporate CH functions	
<ul style="list-style-type: none"> Equipment used for process monitoring or data collection must be calibrated and maintained. 	This is not applicable to corporate CH functions.	
Criterion 6 Design.		
<ul style="list-style-type: none"> Items and processes must be designed using sound engineering/scientific principles and appropriate standards. 	This is not applicable to corporate CH functions.	
<ul style="list-style-type: none"> Design work, including changes, must incorporate applicable requirements and design bases. 	This is not applicable to corporate CH functions.	
<ul style="list-style-type: none"> Design interfaces must be identified and controlled. 	This is not applicable to corporate CH functions.	

<ul style="list-style-type: none"> The adequacy of design products must be verified or validated by individuals or groups other than those who performed the work. 	This is not applicable to corporate CH functions.	
<ul style="list-style-type: none"> Verification and validation work must be completed before approval and implementation of the design. 	This is not applicable to corporate CH functions.	
Criterion 7 Procurement.		
<ul style="list-style-type: none"> Procured items and services must meet established requirements and perform as specified. 	IX.B IX.A	CH O 971.1 ACQ procedures
<ul style="list-style-type: none"> Prospective suppliers must be evaluated and selected on the basis of specified criteria. 		CH O 971.1 ACQ procedures
<ul style="list-style-type: none"> Processes to ensure that approved suppliers continue to provide acceptable items and services must be established and implemented. 	IX.C IX.E	CH O 971.1 ACQ procedures
Criterion 8 Inspection and Acceptance Testing.		
<ul style="list-style-type: none"> Inspection and testing of specified items, services, and processes must be conducted using established acceptance and performance criteria. 	This is not applicable to corporate CH functions.	
<ul style="list-style-type: none"> Equipment used for inspections and tests must be calibrated and maintained. 	This is not applicable to corporate CH functions.	
Criterion 9 Management Assessment.		
<ul style="list-style-type: none"> Managers must assess their management processes. 	IX.F	Self Assessment Program
<ul style="list-style-type: none"> Problems that hinder the organization from achieving its objectives must be identified and corrected. 	IX.F	CH O 440.1A CH M 440.1A-1 CH O 5480.29
Criterion 10 Independent Assessment.		
<ul style="list-style-type: none"> Independent assessments must be planned and conducted to measure item and service quality, to measure the adequacy of work performance, and to promote improvement. 	IX.D IX.F	CH O 450.4 CH O 5480.19 CH M 5480.19
<ul style="list-style-type: none"> The group performing independent assessments must have sufficient authority and freedom from the line to carry out its responsibilities. 	IX.D IX.F	CH O 450.4 CH O 5480.19 CH M 5480.19
<ul style="list-style-type: none"> Persons conducting independent assessments must be technically qualified and knowledgeable in the areas assessed. 	IX.D IX.F	CH O 450.4 CH O 5480.19 CH M 5480.19